

U.S. Office of Personnel Management

OPERATING MANUAL

**THE GUIDE TO
PERSONNEL
RECORDKEEPING**

This document replaces the Provisional Operating Manual created by the FPM Sunset Document. Discard both the Provisional Operating Manual and the former FPM Supplement 293-31.

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Chapter 1

General Personnel Recordkeeping Policies

Regulation	Personnel recordkeeping regulations are found in title 5, CFR 293. These regulations establish minimum standards of accuracy and relevancy for the personnel records that the Office of Personnel Management (OPM) requires agencies to maintain.
Definition: Official Personnel Folder	The Official Personnel Folder (SF 66) is a file containing records and documents related to civilian employment under title 5, U.S. Code.
The Merged Records Personnel Folder	The Merged Records Personnel Folder (SF 66-C) contains personnel records established both within and outside the scope of OPM's recordkeeping authority.
Ownership of the Personnel Folder	<p>OPM owns the personnel folder and its contents. OPM has delegated to agencies the authority to maintain these personnel folders.</p> <p>Agencies may have personnel folders containing records that were established outside the scope of OPM's recordkeeping authority. OPM does not own those records and OPM's delegations of recordkeeping authority do not apply to them.</p> <p>Example: Records on Foreign Service employees are outside the scope of OPM's recordkeeping authority.</p>

Continued on next page

Chapter 1: General Personnel Recordkeeping Policies^{Continued}

Safeguarding the personnel folder

Store personnel records either in locked metal filing containers or in a secured room.

Allow only the employee and authorized persons to view an employee's personnel records. Do not allow employees unsupervised access to their official personnel records. Do not allow employees to act as custodians of their own records.

Follow agency procedures controlling the charge-out and return of records on a timely basis.

Employee performance records

Agencies may decide which records to maintain in their employee performance files and where to store such records. Refer to title 5, CFR 293 and agency guidelines for filing instructions related to these records.

Refer to Chapter 7 of this *GUIDE* for special instructions that apply to employee performance records when an employee leaves.

Employee medical records

Never file employee medical records in the personnel folder. Refer to your agency procedures and title 5, CFR 293 for the definition of medical records and for filing instructions.

Refer to Chapter 7 of this *GUIDE* for special instructions that apply to the disposition of employee medical records when an employee leaves.

Where to get help

Send questions about personnel recordkeeping to OPM's electronic bulletin board, *OPM Mainstreet* (202-606-4800). Once in *OPM Mainstreet*:

- At the Main Menu, choose [1] Forums: Areas of Special Interest, then
 - At the *OPM Mainstreet* Forum, choose [C] Personnel/Auto/Rcds/Statistics
 - At the next Menu, choose <P> Personnel Processing and Recordkeeping, and then,
 - At the next Menu, choose <R> Guide to Personnel Recordkeeping
-

Chapter 2

Establishing the Personnel Folder

Overview

Introduction	<p>The procedures to establish the Official Personnel Folder/Merged Records Personnel Folder are:</p> <ul style="list-style-type: none"> ● Identify any prior Federal service, ● Request personnel records for any prior service, ● Select the correct folder, and ● Review and combine records. 														
Where to look for prior service	<p>Review the employee's application for Federal employment and the SF 144, Statement of Prior Service. Look for any prior Federal service identified on these documents.</p>														
In this chapter	<p>This chapter covers the following topics.</p> <table border="1"> <thead> <tr> <th data-bbox="406 997 1218 1060">Topic</th><th data-bbox="1218 997 1433 1060">See Page</th></tr> </thead> <tbody> <tr> <td data-bbox="406 1060 1218 1165">How to Establish the Personnel Folder When the Employee DOES NOT HAVE Prior Federal Service</td><td data-bbox="1218 1060 1433 1165">2-2</td></tr> <tr> <td data-bbox="406 1165 1218 1270">How to Establish the Personnel Folder When the Employee HAS Prior Federal Service</td><td data-bbox="1218 1165 1433 1270">2-4</td></tr> <tr> <td data-bbox="406 1270 1218 1375"> Step 1: Request the Personnel Records for the Prior Service</td><td data-bbox="1218 1270 1433 1375">2-5</td></tr> <tr> <td data-bbox="406 1375 1218 1480"> Table 2-A: Agency Practices for Transfer of Records</td><td data-bbox="1218 1375 1433 1480">2-6</td></tr> <tr> <td data-bbox="406 1480 1218 1543"> Step 2: Select the Correct Personnel Folder</td><td data-bbox="1218 1480 1433 1543">2-9</td></tr> <tr> <td data-bbox="406 1543 1218 1635"> Step 3: Review and Combine the Prior Service Records with Current Records</td><td data-bbox="1218 1543 1433 1635">2-12</td></tr> </tbody> </table>	Topic	See Page	How to Establish the Personnel Folder When the Employee DOES NOT HAVE Prior Federal Service	2-2	How to Establish the Personnel Folder When the Employee HAS Prior Federal Service	2-4	Step 1: Request the Personnel Records for the Prior Service	2-5	Table 2-A: Agency Practices for Transfer of Records	2-6	Step 2: Select the Correct Personnel Folder	2-9	Step 3: Review and Combine the Prior Service Records with Current Records	2-12
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How to Establish the Personnel Folder When the Employee **DOES NOT HAVE** Prior Federal Service

Folder to use	When the new employee does not have prior service, the SF 66, Official Personnel Folder, will be used to hold personnel records on that employee.
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Steps	There are two steps in establishing the personnel folder when the employee does not have prior service.
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1. Preparing the label
 2. Filing the records
-

Step 1: preparing the label	
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	The label must have the following three items.
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NAME: Type the employee's name exactly as it is on the SF 50, Notification of Personnel Action.

DATE OF BIRTH: Type the date of birth in the order month, day and year in six numerals with dashes between day, month, and year.

Example: January 14, 1994 is typed 01-14-94.

SOCIAL SECURITY NUMBER: Type the employee's social security number (SSN) directly under the name. Show an SSN for all United States citizens and for all foreign nationals serving in the 50 states and places listed in 5 CFR 591.202.

Example: Doe, John X.
999-99-9999

Use "FNO" instead of the social security number for foreign nationals serving in locations other than the United States and those listed in 5 CFR 591.202.

Example: Doe, John Z.
FNO

Continued on next page

How to Establish the Personnel Folder When the Employee **DOES NOT HAVE** Prior Federal Service, Continued

Step 2: Filing records

File records in the Official Personnel Folder. See Chapter 3 of this *Guide* for instructions on document placement.

Never put marks on the folder

Do not add any markings, notations, or tabs to the personnel folder or label. Only official codes authorized by the National Personnel Records Center are permitted on the front of the folder.

When using a bar code labeling system, place the bar code label:

- on the side of the folder containing the file label, but at the end opposite the employee's name, or
 - on the back of the folder.
-

How to Establish the Personnel Folder When the Employee ~~HAS~~ Prior Federal Service

Regulation	Title 5, CFR 293.306, requires that an agency combine into a single personnel folder and single medical folder a new employee's prior and current employment personnel records.
What are personnel records?	<p>Personnel records consist of records:</p> <ul style="list-style-type: none">● in an employee's personnel folder,● in an Employee Medical Folder, and● selected records in the employee's performance folder.
Three-step procedure	<p>The three steps to establish a personnel folder for an employee with prior service are:</p> <ul style="list-style-type: none">● STEP 1: Request the personnel records for the prior service.● STEP 2: Select the correct personnel folder.● STEP 3: Review and combine the prior service records with the current records.

STEP 1: Request the Personnel Records for the Prior Service

Requesting folders	The personnel office must request the personnel records for new employees with prior service when new employees begin work. Where to request prior service records depends on whether the individual is a current or former Federal employee. If the individual worked for an agency that is not under OPM's recordkeeping authority, use Table 2-A to identify which of those agencies will forward the entire personnel folder, transcripts of service, or furnish microfiche.
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Current Federal employee	If the person is a current Federal employee, or separated less than 90 days ago, request the personnel folder and the employee medical folder from the former servicing personnel office. Agencies may send a note with a copy of the SF 50, Notification of Personnel Action, to request the folder. The request for the employee medical folder is made on the same note as that for the personnel folder.
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Always contact the National Personnel Records Center (NPRC) to insure consolidation of all prior service records.

Former Federal employee	When the person has not been a Federal employee within the past 90 days, his/her folder should be at the National Personnel Records Center.
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Send the appropriate request to **NARA, National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118.**

Personnel Folders	Employee Medical Folders
Send an SF 127, Request for Official Personnel Folder, in duplicate, to request the folder.	Send an SF 184, Request for Employee Medical Folder, to request the folder. The SF 184 may be sent to NPRC along with the request for the personnel folder.

Important to Remember	The NPRC will not automatically send the Employee Medical Folder when they receive a request for the personnel folder. The Employee Medical Folder is stored separately from the personnel folder. NPRC must receive the SF 184 before they will send the Employee Medical Folder.
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Table 2-A: Agency Practices for Transfer of Records

Introduction An employee's prior employment may have been with one or more agencies that establish personnel records outside the scope of OPM's recordkeeping authority.

In this table This table lists the practices for transfer of records by agencies that are outside the scope of OPM's recordkeeping authority. The table shows whether such agencies will furnish a paper or microfiche personnel folder, an administrative folder, or a transcript of service.

Agencies that will Release Personnel Folders:	ACTION (effective on March 31, 1995, ACTION transfers to the Corporation for National and Community Service)
	Administrative Office of the U.S. Courts
	On employees of the Civilian Intelligence Personnel Management System (CIPMS): Department of Air Force Department of Army Department of Navy
	For those employed under title 38, U.S. Code:
	Department of Veterans Affairs
	Federal Judicial Center
	DoD, Non-Appropriated Fund Instrumentalities
	General Accounting Office
	Library of Congress

Continued on next page

Table 2-A: Agency Practices for Transfer of RecordsContinued

Agencies that will Release Personnel Folders, Continued	National Security Agency
	On employees of the Foreign Service: Agency for International Development U.S. Information Agency USDA, Animal and Plant Health Inspection Service USDA, Foreign Agriculture Service Department of State Department of Commerce
	Office of Technology Assessment
	Panama Canal Commission
	Peace Corps
	U.S. Postal Service
	White House
Agencies that will Furnish Transcripts of Service:	Agricultural Stabilization and Conservation Service, USDA
	Architect of the Capitol
	Board of Governors of the Federal Reserve System
	Central Intelligence Agency
	Congressional Budget Office
	District of Columbia (DC) Government
	Federal Bureau of Investigation

Continued on next page

Table 2-A: Agency Practices for Transfer of Records

Continued

Agencies that will Furnish Transcript of Service, Continued	U.S. Botanical Gardens
	U.S. House of Representatives
	U.S. Senate
Agencies that will Furnish Microfiche	Tennessee Valley Authority

Step 2: Select the Correct Personnel Folder

Introduction You must file records for employees who have prior Federal service in:

- the SF 66, Official Personnel Folder,
- the SF 66-C, Merged Records Personnel Folder,
- or a Foreign Service (Administrative) Folder.

The Official Personnel Folder The SF 66, Official Personnel Folder (OPF), must be used when all the employee's Federal service is with agencies under OPM's recordkeeping authority. OPM's authority covers only the Executive Branch of Government.

The Merged Records Personnel Folder The SF 66-C, Merged Records Personnel Folder (MRPF), must be used instead of the SF 66, OPF, when the personnel records created by agencies listed in Table 2-A are combined with records created by agencies under OPM's recordkeeping authority.

Example: The MRPF will be used when an employee leaves the General Accounting Office and is employed by the Bureau of Prisons.

Example: The MRPF will be used when an employee leaves the Foreign Service and is employed by the Internal Revenue Service.

Non-example: The MRPF will not be used when an employee leaves the Internal Revenue Service and is employed by the Fish and Wildlife Service. **The MRPF is not used in this case because** the Fish and Wildlife Service and the Internal Revenue Service are both under OPM recordkeeping authority.

Once an MRPF is created, the employee's records are kept in that MRPF for the remainder of the employee's Federal career.

Continued on next page

Step 2: Select the Correct Personnel Folder Continued

Deciding what personnel folder to use

The table given below identifies the personnel folder to use for employees with prior Federal service. Refer to Table 2-A for a list of agencies that may establish personnel records outside of OPM's recordkeeping authority.

If the records...	Then use the...
<p>were established under OPM's recordkeeping authority,</p> <p>NOTE: This includes transcripts of service that agencies prepared in place of lost or missing records.</p>	SF 66, Official Personnel Folder.
<p>were established outside the scope of OPM's recordkeeping authority and are not Foreign Service records created by Department of State,</p> <p>NOTE: This includes transcripts of service that agencies prepared as the transferred personnel records.</p>	SF 66-C, Merged Records Personnel Folder
include Foreign Service records of the Department of State,	existing Foreign Service (Administrative) folder.

Use the existing personnel folder

Check the condition of the personnel folder you received from the former agency/National Personnel Records Center. Use the existing personnel folder unless the folder is in poor condition. Create a new folder if needed.

Check the label

The label must have the following three items.

NAME: Type the employee's name exactly as it is on the SF 50, Notification of Personnel Action.

Continued on next page

Step 2: Select the Correct Personnel Folder Continued

Check the label,
continued

DATE OF BIRTH: Type the date of birth in the order as month, day and year in six numerals with dashes between day, month, and year.

Example: January 14, 1994 is typed 01-14-94.

SOCIAL SECURITY NUMBER: Type the employee's social security number (SSN) directly under the name. Show an SSN for all United States citizens and for all foreign nationals serving in the 50 states and places listed in 5 CFR 591.202.

Example: Doe, Jane R.
SSN: 999-99-9999

Use "FNO" instead of the social security number for foreign nationals serving in locations other than those listed in 5 CFR 591.202.

Example: Doe, Jack J.
FNO

Do not make any
marks or
notations on the
folder

Do not add any markings, notations, or tabs to the employee personnel folder or label. Only official codes authorized by the National Personnel Records Center are permitted on the front of the folder.

When using a bar code labeling system, place the bar code label:

- on the side of the folder containing the file label, but at the end opposite the employee's name, or
- on the back of the folder.

Step 3: Review and Combine the Prior Service Records with the Current Records

Introduction	Employees' Official Personnel Folder/Merged Records Personnel Folder will move with them for their entire Federal career. When medical records exist for an employee, the Employee Medical Folder will move with the employee.
Rule: errors found	<p>With one exception, any errors on newly received records must be corrected.</p> <p>Example: A newly received record shows incorrect life insurance coverage. Process a correction and file that correction in the folder even though another office made the error.</p>
Exception to the rule	Do not correct errors on records established outside of OPM's recordkeeping authority. Refer to Chapter 6 of this <i>GUIDE</i> for information on who to contact for amendment of such records.

Continued on next page

Step 3: Review and Combine the Prior Service with the Current Records, Continued

Procedures

Follow the procedures below to review and combine records into a single personnel folder and a single Employee Medical Folder (EMF).

Step	Action
1	<p>Make a copy of the SF 1150, Record of Leave Data, found in the folder. Send the original SF 1150 to the office that processes your payroll. File the copy in the personnel folder.</p> <p>If the folder does not contain an SF 1150, request the form from the former employing office.</p>
2	<p>Remove inappropriately filed documents from the folder. See Chapter 3 of this <i>GUIDE</i> to help decide what should be filed in the personnel folder.</p> <p>NOTE: Always remove an SF 181, Race and National Origin Identification, or an SF 256, Self-Identification of Medical Disability, when found in the personnel folder. These are the only documents that may be removed from that portion of records in the personnel folder established outside the scope of OPM's personnel recordkeeping authority.</p>
3	<p>Look for signs of missing documents. Locate or reconstruct any missing documents.</p> <p>EXAMPLE: The OPF is for an employee with career status and there is no document electing or declining life insurance.</p>
4	<p>Combine all appropriate records in chronological order into a single folder.</p>

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Step 3: Review and Combine the Prior Service with the Current Records, Continued

Procedures,
continued

Step	Action		
5	<p>Correct any errors.</p> <p>EXAMPLE: An SF 50, Notification of Personnel Action, shows the wrong tenure group. Follow instructions in <i>THE GUIDE TO PROCESSING PERSONNEL ACTIONS</i> for correction procedures.</p>		
6	<p>When you receive the personnel folder for the employee's prior service, the left side of the folder should contain certain performance records. The former employing office(s) should have placed certain ratings of record and certain performance plans on the left side of the folder prior to transfer.</p> <table> <tr> <td> <p>SES Employees</p> <ul style="list-style-type: none"> ● Ratings of record five years old or less, and ● Performance plans for each rating of record transferred with the personnel folder. </td><td> <p>Non-SES Employees</p> <ul style="list-style-type: none"> ● Ratings of record four years old or less, and ● Performance plans for the most recent rating of record transferred with the personnel folder. </td></tr> </table> <p>If the ratings or plan(s) are missing from the folder, contact the former employing office(s) for the missing records.</p> <p>File the ratings and plan(s) as instructed by agency guidance.</p> <p>NOTE: If the personnel folder was transferred within the same agency, all performance related documents may have been sent from the former employing office.</p>	<p>SES Employees</p> <ul style="list-style-type: none"> ● Ratings of record five years old or less, and ● Performance plans for each rating of record transferred with the personnel folder. 	<p>Non-SES Employees</p> <ul style="list-style-type: none"> ● Ratings of record four years old or less, and ● Performance plans for the most recent rating of record transferred with the personnel folder.
<p>SES Employees</p> <ul style="list-style-type: none"> ● Ratings of record five years old or less, and ● Performance plans for each rating of record transferred with the personnel folder. 	<p>Non-SES Employees</p> <ul style="list-style-type: none"> ● Ratings of record four years old or less, and ● Performance plans for the most recent rating of record transferred with the personnel folder. 		
7	<p>Repeat Steps 2 through 4 for medical records.</p> <p>When medical records are received in an SF 66-D, Employee Medical Folder, continue to use that folder. However medical records may be placed in an agency medical folder while held by that agency.</p>		

Chapter 3

Filing Documents in the Personnel Folder

Overview

In this chapter

This chapter provides instructions for filing personnel documents in the personnel folder. The subject categories are listed below.

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General Filing Procedures

Introduction	<p>Specific instructions must be followed precisely to ensure that all documents pertaining to an employee's rights and benefits are available in the personnel folder when needed.</p> <p>Personnel folder documents are either long-term or temporary documents. Certain documents must never be filed in the personnel folder.</p>
Long-term documents	<p>Long-term documents are records kept for the life of the folder, usually 115 years from the employee's date of birth. These documents are filed in chronological order on the right side of the personnel folder.</p>
Temporary documents	<p>Temporary documents are documents that are not kept for the life of the personnel folder. These documents are filed on the left side of the personnel folder.</p>
>Discontinued documents<	<p>>Discontinued documents are long-term or temporary documents that are not to be used after a given date<</p>
Prohibited documents	<p>Prohibited documents are records that must never be placed in a personnel folder. The prohibition may come from law, such as the Privacy Act, or from regulation such as title 29, CFR.</p> <p>Example: SF 181, Race and National Origin Identification.</p>
Rule: prohibited data	<p>Any data that uniquely identifies an employee must never be placed in the personnel folder of another employee.</p> <p>Example: date of birth and social security number.</p>

Continued on next page

General Filing Procedures,Continued

**>Rescinded
filing
requirements<**

>Rescinded filing requirements are document filing requirements that are cancelled as of a given date.<

**File documents
in chronological
order**

Documents must be filed in the personnel folder in chronological order by the effective date of the record. File the document with the more recent effective date on top of the document with the earlier effective date. However, when:

- forms have no effective date, file them by completion date, and
- more than one form has the same effective date, file them in any order within the effective date.

**Examples:
chronological
order**

An employee's SF 2809, Health Benefits Registration, signed January 12, 1994, but **effective** the first day of the pay period beginning January 20, 1994, is placed **on top of** the employee's appointment SF 50, Notification of Personnel Action **effective** January 12, 1994.

>An employee's training form with **no effective date** but with a completion date of February 28, 1994, is placed on top of the employee's SF 2809 effective January 20, 1994.<

An employee's three entrance on duty forms with a January 13, 1994, effective date are placed on top of the appointment SF 50 effective January 12, 1994 and underneath the SF 2809 effective January 20, 1994. The three entrance on duty forms are filed together as a group in no particular order within the group.

Continued on next page

General Filing Procedures, Continued

Procedures

Follow these two steps when filing documents in the personnel folder.

Step 1. Check documents for personal information about any person other than the folder subject employee.

Eliminate the personal information on the other person. Use a grease pencil or cut the information out of the document to insure the privacy of the individual.

Step 2. Place the documents correctly in the personnel folder. Take particular care in:

- right-side and left-side placement, and
- chronological order placement.

Use the Index of Documents in Chapter 8, of this Guide, to locate the table containing filing instructions for individual forms.

Information About the Tables

Use Chapter 8 to locate filing instructions	Chapter 8 of this <i>GUIDE</i> lists forms separately indexed by form number and by topic/title. Refer to Chapter 8 for the page in this chapter to find instructions for filing a particular form.
Discontinued forms	<p>Personnel folders are maintained throughout an employee's career and are retained at the National Personnel Records Center long after the employee separates from Federal service. Records filed on the right side of the folders are retained for the life of the folder.</p> <p>Certain forms may be discontinued for further use after a given date. An agency may have completed such forms when they were still in use and filed them correctly on the right side of the personnel folder. These forms typically must remain in the personnel folder. For this reason, discontinued forms are listed in Tables 3-A through 3-I.</p>
Left-side forms	Tables 3-A through 3-I identify the few forms that OPM requires agencies to file on the left side of the personnel folder. An agency may file on the left side of the personnel folder any additional forms that it considers useful and that OPM has not designated as long-term or prohibited from being filed in the personnel folder.

Table 3-A: Applications for Federal Employment

List of
documents

This table provides instructions for filing documents related to applications for Federal employment.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>Agency Application for Federal Employment, or Resume, including:</p> <p>>OF 612 Optional Application for Federal Employment<</p>	<p>File applications, or resumes, on the right side when the form is used:</p> <ul style="list-style-type: none"> ● as basis for first Federal appointment, ● as basis for latest Federal appointment, ● as latest certification of eligibility for veterans preference, ● as basis for rating in a civil service examination, or ● to show OPM has completed a background investigation (The application will have a notation that the case was processed. File by stamped date; when not stamped, file by signature date). <p>NOTE: An employee will have an application or resume for each competitive appointment or conversion.</p>

Table 3-A continued on next page

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>Former Applications for Federal employment now discontinued:</p> <p>>SF 171 (DISCONTINUED) Application for Federal Employment</p> <p>Formerly titled "Personal Qualifications Statement"></p> <p>>SF 171-A (DISCONTINUED) Continuation Sheet for SF 171<</p> <p>>SF 172 (DISCONTINUED) Amendment to Application for Federal Employment - SF 171</p> <p>(Formerly titled "Amendment to Personal Qualifications Statement")<</p> <p>USCSC Form 8 (DISCONTINUED) SF 57 (DISCONTINUED) Application for Federal Employment</p> <p>SF 58 (DISCONTINUED)</p> <p>SF 60 (DISCONTINUED) Job Application</p> <p>SF 173 (DISCONTINUED) Job Qualification Statement</p>	<p>File these applications using the instructions provided for the more recent forms.</p>
Table 3-A continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
ATTACHMENTS TO APPLICATIONS CSC 226 (DISCONTINUED) Certification of Scholastic Achievement CSC 1170 (DISCONTINUED) Supplemental Qualification Statement OPM 1170/17 Supplemental Qualification Statement/List of College Courses and Certificate of Scholastic Achievement	File these forms on the right side when any are found attached to an application for Federal employment. NOTE: Remove other documents from the application, such as: <ul style="list-style-type: none">● Photographs,● Publications submitted as proof of accomplishments,● Position Descriptions,● Diplomas,● Training Certificates, or● Performance Appraisals.
School Transcripts	File "certified" copies of school transcripts on the right side. File only those transcripts used to qualify the employee for position.

Table 3-B: Appointment Support

List of
documents

This table provides filing instructions for documents that support appointments.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
CSC 492 (DISCONTINUED) Application to Establish Eligibility for Reinstatement to Career-Conditional	File these documents on the right side .
CSC 493 (DISCONTINUED) Application to Establish Eligibility for Conversion to Career-Conditional	File these documents on the right side .
CSC 617 (DISCONTINUED) Application to Establish Eligibility for reinstatement to Career-Conditional under P.L. 84-380 and 85-847	File these documents on the right side .
CSC 618 (DISCONTINUED) Application to establish eligibility for conversion to Career-Conditional under P.L. 84-380 and 85-847.	File these documents on the right side .
CSC 2800b Authorization of a Career-Conditional Appointment	File these documents on the right side .
Table 3-B continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>DD 214 Certificate of Release or Discharge from Active Duty</p> <p>(Formerly titled "Report of Transfer or Discharge" and "Report of Separation from Active Duty")</p> <p>>NOTE: Branches of Service no longer issue a DD 214 for each period of service. The serviceperson may submit a document covering service from initial induction to date of last separation from active service that identifies "<i>total active service</i>."<</p>	<p>File military separation records on the right side.</p> <p>NOTE: Original DD 214's are always returned to the employee.</p> <p>NOTE: Earlier versions of DD 214 identified the individual's race and physical description. When found on the DD 214, this information must be deleted. Using a grease pencil or cutting out the blocks are recommended for deleting the information.</p>
<p>INS Form I-9 Employment Eligibility Verification</p>	<p>File these documents on the right side.</p> <p>NOTE: File only the most recent I-9. Remove previously completed forms. Refer to the >OPM Operating Manual,< <i>THE GUIDE TO PROCESSING PERSONNEL ACTIONS</i> for instructions on completion and retention of I-9 forms.</p>
<p>>OF 306 Declaration for Federal Employment<</p>	<p>>File these documents on the right side.<</p>
<p>SF 14 Claim for Veteran's Preference</p>	<p>File documents on the right side.</p>
<p>SF 15 Application for 10-Point Veteran Preference</p>	<p>File documents on the right side.</p>
<p style="text-align: right;"><i>Table 3-B continued on next page</i></p>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SF 39 Request for Referral of Eligibles NOTE: Name, veteran's preference, and ratings must remain on list--personal information must be removed for persons other than the subject of the personnel folder.	File these documents on the >left side.< NOTE: File separately from the personnel folder any background material retained to enable you to reconstruct the action. Refer to National Archives and Records Administration instructions in the General Records Schedule for record disposition.
SF 59 Request for Approval of Non-Competitive Action	File these documents on the right side.
SF 61 (or equivalent) Appointment Affidavit	File all forms on right side. Keep only those SF 61's that were completed at time of appointment or conversion.
SF 61-B (or equivalent) >(DISCONTINUED)< Declaration of Appointee	File all forms on the right side. Keep only those SF 61-B's that were completed at time of appointment or conversion.
SF 144 Statement of Prior Federal Service Refer to the >OPM Operating Manual< , <i>THE GUIDE TO PROCESSING PERSONNEL ACTIONS</i> for instructions on how to complete the form.	File these documents on the right side when they are the latest forms: <ul style="list-style-type: none"> • signed by employee, or • used by the agency for calculating the SCD NOTE: In cases where SCD has been recomputed, the agency may wish to keep the former SF 144 to show discrepancies. Staple the old SF 144 with the new one.
SF 180 Request Pertaining to Military Records	File documents on the right side.

Table 3-B continued on next page

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SF 813 (Previously OPM 813) Verification of a Military Retiree's Service in Nonwartime Campaigns or Expeditions	File documents on the right side after dates for the retiree's campaign service are verified by the military records facility.
AUTHORIZED BY OPM/CSC OR UNDER DELEGATED AUTHORITY >(The authorization or delegation identifies uniquely (e.g., by name) an employee or employees.)< Form or letter authorized by OPM/CSC, or an agency appointing officer under delegated authority, that: >1) cancels competitive status< >2) authorizes a personnel action (This refers to a document written by OPM/CSC or>, by the agency< under delegated authority, NOT an SF 52.)< >3) verifies competitive status, veteran preference, or service history< >4) disapproves a personnel action because of nonexistence of competitive status<	File these documents on the right side . NOTE: File separately from the personnel folder any background material retained to enable you to reconstruct the action. Refer to National Archives and Records Administration instructions in the General Records Schedule for records disposition.

Table 3-B continued on next page

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>DEPT OF VETERANS AFFAIRS LETTERS</p> <p>Letters issued by the Department of Veterans Affairs showing veteran's disability percentage.</p> <p>NOTE: The letter is valid documentation whether or not it contains an official signature or signature block.</p>	<p>File letters on the right side when documenting:</p> <ul style="list-style-type: none"> the most recent verification of service-connected disability or receipt of benefits, OR to support VRA appointment or appointment under Reg 316.401(b)(5).
<p>ETHICS PLEDGE</p>	<p>File the signed Ethics Pledge on the right side.</p>
<p>EXPERTS AND CONSULTANTS</p> <p>Documents supporting appointments of experts and consultants that:</p> <ul style="list-style-type: none"> state duties and responsibilities of the position, certify that the statement of employment and financial interests has been obtained, state that the positions are in fact different when the individual is reappointed, or certify each appointment or extension of appointment. 	<p>File these documents on the >left side.<</p> <p>NOTE: File documents that show the job actually requires the services of the incumbent.</p> <p>NOTE: File the certification that determines no conflict of interest exists. Do not file the actual financial disclosure statement in the personnel folder.</p> <p>NOTE: File the certificate that states requirements concerning the position, appointee's qualifications, pay documentation, and use of appointing authority have been met.</p>
Table 3-B continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
INTERNATIONAL ORGANIZATION Authorization by the Secretary of State to extend a transfer or detail to an international organization that is in the national interest.	File the document on the >left side.<
>LICENSE <ul style="list-style-type: none"> ● Copy of license as proof that individual qualifies for position (i.e., attorney position by passing the State Bar Examination)< 	>File documents on the right side.<
PEACE CORPS, >Corporation for National Service (formerly ACTION),< or VISTA Letter or statement showing proof of satisfactory Peace Corps/>Corporation for National Service (ACTION) service,< or VISTA/>Corporation for National Service (ACTION) service.<	File the signed documents on the right side.
POSITION DESCRIPTIONS >Position Descriptions<	File the descriptions on the left side.
POST OFFICE DEPARTMENT CONVERSIONS Recommendation made by the Postmaster General, or his designated representative, to convert an employee to a career appointment in the Post Office under P.L. 84-836.	File the document on the right side. NOTE: Documents created by the Post Office Department prior to July 1971 are title 5, U.S.C., records that are owned by OPM.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<i>Table 3-B continued on next page</i>	
REFERENCE CHECKS/ PRE-EMPLOYMENT INQUIRIES Documents that show results from checks made of employment or personal references, or pre-employment vouchers and inquiries (including telephone inquiries)	Do not file such documents in the personnel folder. If kept, file documents in the recruitment file.
RESTRICTED POSITIONS Agency documents for placement of a non-preference eligible in a position restricted to preference eligibles, including: <ul style="list-style-type: none"> ● Certification that no preference eligible was found as qualified and available for promotion or reassignment to the position. ● Statement regarding the efforts made to recruit a preference eligible 	File agency documents on the left side .
<i>Table 3-B continued on next page</i>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>SELECTIVE SERVICE REGISTRATION</p> <p>Statement of Selective Service Registration Status</p> <p>NOTE: The statement may be an agency form or proof of registration or exemption issued by the Selective Service System. Letters of adjudication from OPM are also included here.</p>	<p>File the statement, signed and dated in INK, on the right side.</p>
<p>SENIOR EXECUTIVE SERVICE</p> <p>The following documents for SES appointees:</p> <ul style="list-style-type: none"> • Statement by an SES career appointee that he/she elects to continue under the provisions of the SES upon receiving an appointment by the President that requires Senate confirmation. • Statement of acceptance or declination of conversion to a position in the Senior Executive Service <p><i>(Continued on next page)</i></p>	<p>File signed documents on the right side.</p>
<p style="text-align: right;"><i>Table 3-B continued on next page</i></p>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>SENIOR EXECUTIVE SERVICE (Continued)</p> <ul style="list-style-type: none"> • The written agreement that the individual voluntarily accepts the conditions when changing from a career to a noncareer or limited appointment • A written statement by the appointee waiving the 15- or 60-day advance notice or the 120-day moratorium for an involuntary reassignment 	<p>File the written statement on the left side.</p>
<p>STATEMENTS OF UNDERSTANDING</p> <p>Written statement that the employee understands he/she is leaving the competitive service voluntarily to accept an appointment in the excepted service.</p> <p>Example: Acceptance into the Presidential Management Intern Program</p>	<p>File statements of understanding on the right side when signed by the employee.</p>
<p>TEMPORARY EMPLOYMENT CONDITIONS</p> <p>Agency form/memo describing the conditions of temporary employment when signed by the employee.</p>	<p>File the document on the left side.</p>
<p>TEST MATERIAL</p> <p>Answer sheets from written examinations</p>	<p>Do not file answer sheets in the personnel folder.</p>

Table 3-C: >Awards<

List of
documents

This table provides instructions for filing>awards.<

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
AGENCY FORMS Agency forms, certificates, letters, etc. for cash awards that do not affect an employee's rate of basic pay	File these documents on the right side : <ul style="list-style-type: none">• when no SF 50 is required, or• actions are dated prior to 1986. (SF 50's were not required to document awards until 1986.)
AWARD JUSTIFICATION Award justification and other reference material	Do not file this material in the personnel folder. File this material as part of the agency's Employee Performance File System.

Table 3-D: Benefits

List of
documents

This table provides instructions for filing benefits.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
HEALTH INSURANCE	
SF 2809 Health Benefits Registration Form	File these documents on the right side . NOTE: The SF 2809 may list a child, 22 years of age or over, who is determined to be incapable of self-support due to a physical or mental incapacity which existed before their 22nd birthdate. In such cases, place the medical documentation provided to support the child's coverage as a family member in a sealed envelope and attach it to the form. In the case of an employee's death, file the initialed SF 2809 documenting open season change made by the survivor in the deceased employee's personnel folder as verification that it was given to the survivor.
SF 2810 Notice of Change in Health Benefits	File these documents on the right side .
INDEBTEDNESS TO HEALTH BENEFITS FUND Documentation to alert next employing agency that the employee is indebted to the health benefits fund and the amount that must be withheld from the employee's pay	File these documents on the left side .
Table 3-D continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
INSUFFICIENT SALARY FOR BENEFIT ENROLLMENT Notice to employee that salary is insufficient to cover the health benefits premiums	File these documents on the right side .
PLACEMENT IN NONPAY STATUS The specific notice informing the employee of the requirement to pay health benefits premiums for coverage that continues during period of nonpay status.	File the notice, signed by the employee, on the right side .
TEMPORARY CONTINUATION OF COVERAGE Notice of eligibility for temporary continuation of health benefits coverage	File these documents on the right side when signed by the employee to acknowledge receipt of the notice. NOTE: If the notice was sent by certified mail, file the delivery receipt with a copy of the notice until the signed copy is returned.
LIFE INSURANCE	
>FE-8C Office of Federal Employees' Group Life Insurance Statement of Claim Payment for Living Benefits<	>File these documents on the right side .<
>RI 76-10 Assignment of Federal Employee's Group Life Insurance<	>File these documents on the right side .<
SF 51 (DISCONTINUED) Request for Insurance	File the portion with the decision by the Office of Federal Employees' Group Life Insurance on the right side .
Table 3-D continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
LIFE INSURANCE, Continued	
SF 54 (DISCONTINUED) Designation of Beneficiary - OFEGLI	File all these documents on the right side .
SF 176 or SF 176T (DISCONTINUED) Election, Declination, or Waiver of Life Insurance Coverage	File these documents on the right side .
SF 2817 Life Insurance Election	File these documents on the right side . NOTE: When an employee who has been in nonpay status less than 12 months and is receiving compensation wants to cancel optional insurance, the Office of Workers' Compensation Programs will return the SF 2817 to the employing office for filing in the personnel folder.
SF 2819 Notice of Conversion Privilege (FEGLI)	File these documents on the right side .
SF 2820 Certification of Insured Employees' Retired Status	File these documents on the right side .
SF 2821 Agency Certification of Insurance Status (FERS)	Place the original on the left side of the personnel folder until a claim for death benefits is received from the survivors.
SF 2822 Request for Insurance (FEGLI)	File these documents on the right side .
SF 2823 Designation of Beneficiary Under the Federal Employees' Group Life Insurance Program	File these documents on the right side . NOTE: Leave all forms with prior designations in the personnel folder.
Table 3-D continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
RETIREMENT	
OPM Form 1514 Military Deposit Worksheet	File documents on the right side .
OPM Form 1515 Military Service Deposit Election	File documents on the right side .
OPM Form 1555 (DISCONTINUED) Election of Coverage	File these documents on the right side .
OPM Form 1560 (DISCONTINUED) Request for Waiver, Extension or Search (FERS)	File these documents on the right side .
OPM Form 1561 (DISCONTINUED) Retirement Election for Certain Senior Officials	File these documents on the right side .
>RI 20-97 Estimated Earnings during Military Service<	>File these documents on the right side .<
SF 1555 Election of Coverage	File these documents on the right side . NOTE: File the signed FERS election (Part 2) in the personnel folder when received. When the signed Part 2 has not been received within 6 months of the employee becoming eligible to elect FERS, place Part 1 (Personnel Office Copy) of the SF 1555 in the personnel folder.
<i>Table 3-D continued on next page</i>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
RETIREMENT, Continued	
SF 3102 FERS Designation of Beneficiary	File the signed form on the right side . NOTE: The SF 3102 is removed from the OPF and sent to OPM when the employee leaves Federal service. See Chapter 7, of this <i>GUIDE</i> for instructions.
SF 3109 Election of Coverage	File these documents on the right side . NOTE: When a current employee elects FERS Coverage, attach a copy of the letter authorizing retroactive election to the SF 3109 filed in the personnel folder.
SF 3110 Former Spouse's Consent to FERS Election	File these documents on the right side .
SF 3111 Request for Waiver, Extension or Search in Connection with Election of FERS	File these documents on the right side .
RETIREMENT DATA Retirement data forms include: SF 2801, SF 2802, SF 2804, SF 2806, SF 2818, >SF 3100<, any correspondence dealing with a payment, refund form, or repayment to the Civil Service Retirement System >or FERS,< etc.	Do not file any of these forms in the personnel folder. NOTE: Retirement applications and supporting documents, including disability retirement medical records, are retained by OPM in the individual's retirement file.
THRIFT SAVINGS PLAN	
TSP 1 Thrift Savings Plan Election Form	File these documents on the right side .

Table 3-E: Investigative Process

List of
documents

This table provides instructions for filing documents about the investigative process.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
DA 873 Certificate of Clearance and/or Security Determination	>File these documents on the right side .<
OPNAV 5520/20 Certificate of Personnel Security Investigation, Clearance and Access	>File these documents on the right side .<
SF 85 Data for Non-Sensitive or Noncritical Sensitive Positions (formerly titled, "Questionnaire for Noncritical Sensitive Positions")	File these documents on the right side when SF 85 shows "Stamped EO 10450">and the form has the revision date of 10/87< or earlier (and was completed before 4/1/90).
	Do not file copies of SF 85, revision date of December 1987 and later, in the personnel folder. These copies may be placed in the agency security file.
SF 85-P Data for Public Trust Positions	Do not file copies of SF 85P, approved 12/90 or revised later, in the personnel folder. These copies may be placed in the agency security file.
SF 86 Security Investigation Data for Sensitive Positions	Do not file copies of SF 86 in the personnel folder. Documents >dated< prior to 10/87 may be removed from the personnel folder. These documents may be placed in the agency security file.

Table 3-E continued on next page

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SF 87 Fingerprint Chart	Do not file copies of SF 87 in the personnel folder. Copies may be placed in the agency security file.
INVESTIGATION SCHEDULED NOTICE Since 4/88, this form is sent to the submitting office, indicating that requested investigation has been scheduled.	File the Notice on the left side .
INVESTIGATIVE MATERIAL Other investigative material that OPM may provide, including: OFI Form 36 Special Background Investigations Additional Data (created 1/90 and later revised)	Do not file investigative material in the personnel folder unless specifically allowed in this table. Investigative materials provided by OPM (information collections, memos, attachments to reports of investigation, etc.) may not be filed in the personnel folder. Copies may be placed in the agency security file.
INVESTIGATIVE NOTICES Investigative notices include: <ul style="list-style-type: none"> • Certification of Investigation Notice sent by Security Office after adjudication <i>Continued on next page</i>	These documents on the right side . NOTE: These forms are to be filed chronologically using the stamped clearance date. NOTE: Automated case processing became effective 4/1/88; since that date, only investigative notices have been issued for personnel folder filing.
<i>Table 3-E continued on next page</i>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
INVESTIGATIVE NOTICES (Continued) Department of Air Force computer-generated Certification of Investigation >(approved by OPM for use instead of the Certification of Investigation Notice).< ● Returned-Requirements Met Notice sent by Security Office after adjudication ● Closed-Discontinued Notice sent by Security Office ● Closed-Incomplete Notice sent by Security Office	
INVESTIGATIVE REPORTS Report written as a result of an investigation	Do not file reports in the personnel folder. Such reports may be placed in the agency's security file.

Table 3-F: Personnel Actions

List of
documents

This table provides instructions for filing documents about notification of personnel actions.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SF 50-A (DISCONTINUED) Notice of Short Term Employment	File these documents on the right side .
SF 50/50-B Notification of Personnel Action (All actions except Nature of Action >(NOA)<: 001) NOTE: An SF 50, SF 50-A, and SF 50-B may NEVER be removed from a personnel folder unless a nature of action >(NOA)< 001/CANCELLATION has been processed to cancel the action.	File these documents on the right side .
SF 50/50-B Notification of Personnel Action (Nature of Action >(NOA)<: 001) (Continued on next page)	Except as indicated below, do not file the >NOA< 001/CANCELLATION action; do remove the action it cancels. NOTE: An SF 50, SF 50-A, and SF 50-B may NEVER be removed from a personnel folder unless an >NOA<, 001/CANCELLATION has been processed to cancel the action.
Table 3-F continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SF 50/50-B , continued Notification of Personnel Action (Nature of Action >(NOA)<: 001)	File an action with the NOA of 001/CANCELLATION on the right side when an improper appointment is canceled under circumstances that allow an employee to keep service credit >(as instructed in the OPM Operating Manual<, <i>THE GUIDE TO PROCESSING PERSONNEL ACTIONS</i> Chapter 32). In these cases, the >NOA< 001/CANCELLATION will show a remark indicating action must stay in the personnel folder.
SF 52 (or equivalent) Request for Personnel Action	File the SF 52 on the right side when: <ul style="list-style-type: none"> • it records a personnel action not reported on an SF 50 (such as a detail), or • the employee signed and submitted it to request resignation, or to record reason for voluntary retirement.
	File the SF 52 on the left side when an SF 50 is generated to document the action and that action was not a resignation or voluntary retirement.
SF 1126 (DISCONTINUED) Payroll Change Slip	File forms documenting cash awards, within-grade increases, movement between pay and nonpay status, pay adjustments or quality step increases on the right side .
DETAILS - Interagency Agreements Documentation of Details	In the case of Interagency Details, the signed agreement may be filed on the right side instead of an SF 52.

Table 3-F continued on next page

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
LIST FORMS List forms of the Notice of Personnel Action	File lists documenting mass changes, transfers of function or other actions that effect a large number of employees on the right side . NOTE: Delete personal identifying information such as social security number, date of birth, employee number, payroll number, for anyone except the designated employee.
SALARY INCREASE Notices of official salary increases when not documented on an SF 50; for example, general pay increases authorized under 5 U.S.C. 5303	File notices of salary increases on the right side .
TRANSCRIPT OF SERVICE Documents showing appointments, and position or salary changes used for: <ul style="list-style-type: none">● File reconstruction when the personnel folder was lost or destroyed, or● Employment information from appointments in personnel systems not under OPM's recordkeeping authority.	File the transcript on the right side .

Table 3-G: Separation

List of
documents

This table provides instructions for filing documents about an employee's separation from Federal service.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SF 52 Request for Personnel Action	File the document on the right side . SF 52's are filed on the right side only when signed and submitted it to: <ul style="list-style-type: none"> ● request resignation ● record reason for voluntary retirement.
SF 1150 Record of Leave Data (formerly: Employee Leave Record)	File the original form on the right side when the employee transfers or leaves Federal service. NOTE: >The hiring agency will forward the original SF 1150 to the Payroll Office and file a copy in the personnel folder.<
SF 2801-1 Certified Summary of Federal Service (CSRS)	File the signed copy on the right side .
SF 2815 (DISCONTINUED) Employee Service Statement	File completed documents on the right side .
SF 3107-1 Certified Summary of Federal Service (FERS)	File the signed copy on the right side .
DEATH CERTIFICATE Death Certificate	File a certified copy of the employee's death certificate on the right side .
<i>Table 3-G continued on next page</i>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
DISABILITY RETIREMENT Notice of Approval of Disability Retirement Application	File the notice from OPM/CSC on the right side .
EXIT INTERVIEWS Exit interview and clearance forms	Do not file these agency documents in the personnel folder.
MILITARY ORDERS Copy of orders assigning military sponsor to new duty location	File the documents on the right side when the orders support: <ul style="list-style-type: none"> • appointments or conversions, or • a "Termination-Sponsor Relocating" action.
PERFORMANCE >Ratings of Record and subsequent performance ratings<	>Refer to Chapter 7 of this Guide for instructions on filing performance records in the personnel folder when an employee leaves the agency<
REDUCTION IN FORCE RIF Notice	File the notice on the right side when it is used as the basis for employee's: <ul style="list-style-type: none"> • resignation, and/or • application for retirement annuity.
RESIGNATION <ul style="list-style-type: none"> • President's acceptance of the resignation by Presidentially appointed policy-making officers • Agency notice to accept resignation by Presidentially appointed policy-making officers <i>Continued on next page</i>	File the document on the right side .
Table 3-G continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
RESIGNATION , Continued <ul style="list-style-type: none">● Record of the conversation between an agency official and an employee who submits an oral resignation● Written resignation by the employee when the SF 52 is not used.	File the document on the right side .
RESTORATION RIGHTS Statement/notice to OPM, from abolished agency (unless transfers of function are processed), listing those employees who have restoration rights	File the statement/notice on the right side . NOTE: The statement/notice remains in the personnel folder until the individual is reemployed.

Table 3-H: Other Personnel Documents

List of documents

This table provides instructions for filing documents not found on the previous tables.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
OF 69 Assignment Agreement - Title IV of the Intergovernmental Personnel Act of 1970	File documents on the right side when the signed form assigns a Federal employee to a State or local government, or to an institution of higher education.
OF 333 Procurement Integrity Certification for Procurement Officials	If filing the OF 333 in the personnel folder, file it on the right side . Agency placement of the OF 333 in the personnel folder is voluntary. Follow agency guidance for instructions.
OPM Form 1368 (DISCONTINUED) Pay Authorization Under the Civil Service Reform Act of 1978	File the document on the right side .
OPM Form 1468 Race and National Origin Identification-Hawaii	Do not file these documents in the personnel folder. Procedures in >the OPM Operating Manual,< <i>THE GUIDE TO PROCESSING PERSONNEL ACTIONS</i> , require that OPM Form 1468 be destroyed.
OPM Form 1528 (DISCONTINUED) Notification of Earnings for Medicare Eligibility	File the form that provides quarterly amounts of earnings on the right side .
Table 3-H continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SF 75 Request for Preliminary Employment Data	<p>File on the right side the SF 75 that was completed by the losing agency.</p> <p>NOTE: The losing agency provides the Privacy Act accounting of disclosure for records sent to another agency.</p> <p>SF 75's completed when the employee stays within the same agency (Air Force to Air Force), are not disclosures and are not filed on the right side.</p> <p>When the employee stays within the same agency, completed SF 75's may be filed on the left side.</p>
SF 127 Request for Official Personnel Folder (Separated Employee)	<p>File forms completed by the National Personnel Records Center on the right side.</p> <p>NOTE: This form is retained as the required Privacy Act record of disclosure.</p>
SF 181 Race and National Origin Identification	<p>Do not file such documents in the personnel folder.</p> <p>Procedures in the >OPM Operating Manual,< <i>THE GUIDE TO PROCESSING PERSONNEL ACTIONS</i>, require that the SF 181 be destroyed.</p>
SF 189 (DISCONTINUED) Classified Information Nondisclosure Agreement	File the document on the right side.
Table 3-H continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SF 256 Self-Identification of Medical Disability	Do not file such documents in the personnel folder. Procedures in the >OPM Operating Manual,< <i>THE GUIDE TO PROCESSING PERSONNEL ACITONS</i> , require that the SF 256 be destroyed.
SF 312 Classified Information Nondisclosure Agreement	File the document on the right side .
SF 1150 Record of Leave Data (Formerly titled "Employee Leave Record")	File a copy of the leave record on the right side . Send the original leave record to the office responsible for payroll processing. NOTE: These instructions are for the gaining office. Instructions for the losing office are on page 3-30, of this GUIDE.
SF 1152 Designation of Beneficiary for Unpaid Compensation	File documents on the left side . NOTE: This designation is effective only while the employee remains with the agency. Upon transfer to another agency, the employee must complete a new designation.
Table 3-H continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>ALCOHOL AND DRUG ABUSE</p> <p>Documentation about an employee's efforts through use of the agency Employee Assistance Program to rehabilitate from alcohol or drug abuse.</p>	<p>Do not file any documents about an employee's substance abuse in the personnel folder.</p> <p>EXCEPTION: Remarks on the SF 50 are permitted in cases where specific charges led to a disciplinary or separation action documented with the SF 50.</p> <p>NOTE: These documents are to be placed in the agency's employee counseling system of records, not in the Employee Medical File System.</p>
<p>APPEALS</p> <p>Appeal files and related correspondence</p>	<p>Do not file these documents in the personnel folder.</p> <p>NOTE: Documents may be placed in the appropriate agency subject file.</p>
<p>AUTHORIZED BY OPM/CSC</p> <p>Agency documents, when approved by OPM/CSC for long-term retention in the personnel folder.</p>	<p>File these types of documents on the right side.</p>
<p>BIRTH CERTIFICATE</p> <p>Certified birth certificate or any other certified record of birth</p>	<p>File the certified record of birth on the right side when needed to be sure that date of birth is correct.</p>
<p><i>Table 3-H continued on next page</i></p>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
BRIEFING/DEBRIEFING Agency checklists, employee certifications, etc.	Do not file these documents in the personnel folder. The SF 189 and SF 312 are the only statements that may be placed in the personnel folder certifying the employee will not disclose agency information after separation. Other briefing and debriefing documents may be placed in the agency's security files.
COMPLAINTS Complaint correspondence about an agency employee	Do not file complaints in the personnel folder. NOTE: Follow agency guidance for correct filing.
CONDUCT Letters of reprimand, caution, warning or similar disciplinary action papers.	File these documents on the left side .
>DECISIONS AND SETTLEMENT AGREEMENTS Court order; a decision or order, or a settlement agreement reached under the rules and regulations of: <ul style="list-style-type: none"> ● the Merit Systems Protection Board (MSPB), ● the Equal Employment Opportunity Commission (EEOC), ● the Federal Labor Relations Authority (FLRA), ● the Office of Personnel Management (OPM), or the agency;< <p><i>Continued on next page</i></p>	>Do not file copies of decisions and agreements in the personnel folder< >NOTE: Keep copies of decisions and agreements in adverse action/disciplinary files.< >Follow instructions in the OPM Operating Manual, <i>THE GUIDE TO PROCESSING PERSONNEL ACTIONS</i> , for processing decision and settlement agreement actions<
<p><i>Table 3-H continued on next page</i></p>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>>DECISIONS AND SETTLEMENT AGREEMENTS (Continued)</p> <p>or</p> <ul style="list-style-type: none"> ● an arbitral award, ● or a decision of an agency head which adopts the recommendations of an agency fact finder; ● or a settlement agreement between an individual and an agency under circumstances other than those above.< 	
<p>DEMONSTRATION PROJECT</p> <p>Demonstration project cover sheets that explain pay level and classification determinations used during the project</p>	<p>File information sheets explaining the Demonstration Project on the right side.</p>
<p>DENIAL FOR FIREFIGHTER POSITION</p> <p>OPM's, or agency's, written decision of the denial to make a firefighter's position a primary position</p>	<p>File the signed and dated copy of the notice on the right side. File the notice with a copy of OPM's written decision.</p> <p>NOTE: If OPM's decision is later reversed, the copy MUST be removed from the personnel folder.</p>
<p>DISCLOSURE FROM PERSONNEL FOLDER</p> <p>Any form, letter or document that records disclosure of full or partial contents of the personnel folder to a third party under the Privacy Act (5 U.S.C. 552a)</p>	<p>File the form, letter, or document on the right side.</p> <p>Refer to Chapter 6 for instructions on documenting accountings of disclosure.</p>
<p><i>Table 3-H continued on next page</i></p>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
DRUG TESTING RECORDS Records created when an employee undergoes a drug screening test under an agency plan implementing E.O. 12564	Do not file these records in the personnel folder. NOTE: P.L. 100-71 imposes restrictions on disclosure that go beyond provisions of the Privacy Act. To afford greater protection of confidentiality, these records are to be filed separately from >the personnel folder< and the Employee Medical Folder. >Refer to 5 CFR 293 for filing instructions of drug testing records.<
GARNISHMENT Documents that identify approval or instructions about garnishment of an employee's wages	Do not file these letters in the personnel folder. Documents are usually kept in the payroll office of a subject file.
GRIEVANCE Grievance files and correspondence	Do not file these documents in the personnel folder. NOTE: Documents should be placed in the appropriate agency subject file.
INDEBTEDNESS Letters identifying the indebtedness of an employee	Do not file letters in the personnel folder. NOTE: An exception to this is the health benefits withholding notice filed when an employee leaves the agency owing money for coverage.
Table 3-H continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>MEDICAL RECORDS</p> <p>Record on employee occupational illnesses, accidents, injuries, exposures, and other medical or health maintenance matters. Examples of medical records include:</p> <ul style="list-style-type: none"> ● SF 177 >(DISCONTINUED)< Statement of Physical Ability for Light Duty Work, ● Agency dispensary or health unit files or records, ● Records and correspondence about an employee's claim for compensation from the Department of Labor's, Office of Workers' Compensation Programs, for a job related disease or injury, such as: <p style="margin-left: 40px;">CA 1, Federal Employee's Notice of Injury or Occupational Disease,</p> ● Certification of disability, job readiness and need for reasonable accommodation. 	<p>Do not file medical records in the personnel folder.</p> <p>NOTE: When an employee transfers to a different agency or separates from Federal service, all long-term medical records must be placed in an SF 66-C, Employee Medical Folder. >Follow agency instructions for filing medical records prior to transfer or separation.<</p> <p>>Follow Table 7-D of this Guide instructions for retention and disposal of oversized x-rays<</p>
<p>MINORITY GROUP STATISTICS</p> <p>Data identifying the person's minority group status</p>	<p>Do not file any designation of minority status in the personnel folder.</p>
<p style="text-align: right;"><i>Table 3-H continued on next page</i></p>	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
OUTSIDE EMPLOYMENT Documentation about approval or disapproval of employee's notice for outside employment	File the document on the left side . >NOTE: To insure compliance of the Office of Government Ethics (OGE) requirements, document must be retained for the remainder of individual's employment with the agency<
PAYROLL, LEAVE, FINANCIAL RECORDS Payroll, Leave and Financial Records, such as: employee's tax withholding forms, statements of financial withholdings, leave requests, and time and attendance records, etc.	Do not file payroll records in the personnel folder. NOTE: This prohibition does not include the SF 1150. That form should be filed on the right side when the employee leaves the agency.
PERFORMANCE Ratings of record >and subsequent performance ratings<	Follow agency guidance for filing performance records in the Employee Performance File System (EPFS). >Refer to Chapter 7 of this Guide for instructions on filing performance records in the personnel folder when the employee leaves the agency.<
PMRS TERMINATION Notification letter to employee that the Performance Management and Recognition System ended.	File the notification on the right side .
RECONSTRUCTION Agency notice that the personnel folder was reconstructed	File the agency notice on the right side . The notice will be the top document on the reconstructed portion of the folder.
<i>Table 3-H continued on next page</i>	
REFERENCE LETTERS Letters of reference or recommendation	Do not file letters in the personnel folder. NOTE: Keep letters submitted as part of the preappointment package in the recruitment file. When letters are not needed, they may be returned to the employee.

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
SUPERVISORY/MANAGERIAL PROBATION Evidence of satisfactory completion of probationary period for managerial and supervisory positions only.	File the form established under agency procedures for documenting satisfactory completion of probationary period on the right side . NOTE: Performance appraisals/performance ratings are not to be filed as part of the probationary period completion documentation.

Table 3-I: >Rescinded or Revised Records Filing Requirements<

>Introduction	The requirement to file a current document as a long-term record in the personnel folder may be rescinded although the document itself may remain in use. In some situations, the requirement to file a document as a long-term record may be revised to require filing as a temporary record<
>Follow these rules	<p>Follow these rules when:</p> <ul style="list-style-type: none">● the requirement to file or retain a long-term document in the OPF is rescinded;● a document filing requirement is revised from long-term to temporary.<

>Rule: This table provides rules to follow when a requirement to file a document as
Rescinded Filing a long-term (right side) record is **rescinded**.

WHEN	AND	THEN
the requirement to file a document as a long-term OPF record is rescinded	the document is received on or after the rescission date	<p>do not file the document on the long-term (right) side in the OPF.</p> <ul style="list-style-type: none"> Follow agency instructions for filing documents in an internal agency system of records <p>or</p> <p>on the temporary (left) side of the OPF.</p>
	the document is already on file in the OPF	<p>remove the document immediately from the OPF</p> <p>or</p> <p>leave the document on the long-term (right) side of the OPF until the employee leaves the agency:</p> <ul style="list-style-type: none"> at that time remove the document from the OPF. <p>or</p> <ul style="list-style-type: none"> move the document from the long-term (right) side to the temporary (left) side of the OPF until the employee leaves the agency.<

**>Rule:
Document
Removal**

This table provides rules to follow when you choose to remove a document from the OPF because the OPF filing requirement is rescinded.

WHEN	AND	THEN
you remove a document from the OPF because it is no longer required to be filed there	your agency chooses to retain the document in an agency file	observe internal agency filing procedures
	your agency chooses not to retain the document	refer to the National Archives and Records Administration, General Records Schedule for instructions on records disposition.<

>Rule:
Revised Filing

This table provides rules to follow when an OPF filing requirement is **revised** from long-term to temporary.

WHEN	AND	YOU
a filing requirement for a document is revised from long-term to temporary	the document is received on or after the revision date,	file the document on the temporary side of the OPF
	the document is already on file in the OPF as a long-term record,	<ul style="list-style-type: none"> ● may leave the document filed as a long-term record in the OPF until the employee leaves the agency ● (when the employee leaves the agency, observe the instructions in Chapter 7 of this Guide); or, ● may move the record from the long-term to the temporary side of the OPF or, if the retention period has expired, dispose of the record. <p>NOTE: Refer to the National Archives and Records Administration, General Personnel Records Schedule for instructions on retention periods and disposal procedures for the records in question.<</p>

>List of
Documents

This table lists documents that formerly were to be filed for long-term retention, but now are to be filed as temporary records (until their retention schedules are met).<

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
<p>EXPERTS AND CONSULTANTS</p> <p>Documents supporting appointments of experts and consultants that:</p> <ul style="list-style-type: none"> ● state duties and responsibilities of the position, ● certify that the statement of employment and financial interests has been obtained, ● state that the positions are in fact different when the individual is reappointed, or ● certify each appointment or extension of appointment. 	<p>>Follow revised document filing instructions in Table 3-B Appointment Support.<</p>
<p>INDEBTEDNESS TO HEALTH BENEFITS FUND</p> <p>Documentation to alert next employing agency that the employee is indebted to the health benefits fund and the amount that must be withheld from the employee's pay.</p>	<p>>Follow revised document filing instructions in Table 3-D Benefits.<</p>
Table 3-I continued on next page	

DOCUMENT	PERSONNEL FOLDER FILING INSTRUCTIONS
INTERNATIONAL ORGANIZATION Authorization by the Secretary of State that it is in the national interest to extend a transfer or detail to an international organization.	>Follow revised document filing instructions in Table 3-B Appointment Support.<
RESTRICTED POSITIONS Agency documents for placement of a non-preference eligible in a position restricted to preference eligibles, including: <ul style="list-style-type: none"> ● certification that no preference eligible was found as qualified and available for promotion or reassignment to the position. ● statement regarding the efforts made to recruit a preference eligible. 	>Follow revised document filing instructions in Table 3-B Appointment Support.<
SENIOR EXECUTIVE SERVICE A written statement by the appointee waiving the 15- or 60-day advance notice or the 120-day moratorium for an involuntary reassignment.	>Follow revised document filing instructions in Table 3-B Appointment Support.<
SF 39 Request for Referral of Eligibles	>Follow revised document filing instructions in Table 3-B Appointment Support.<

>List of Documents

This table provides a list of documents that are no longer to be filed as long-term documents in the OPF.<

DOCUMENTS	DATE TO STOP FILING
<p>AUTHORIZED BY OPM/CSC OR UNDER DELEGATED AUTHORITY:</p> <p>Form or letter authorized by OPM/CSC, or an agency appointing officer under delegated authority, that</p> <ol style="list-style-type: none"> 1) authorize competitive appointment, noncompetitive appointment, excepted appointment, or appointment above the minimum hiring rate, including: <ul style="list-style-type: none"> • authorized OPM/CSC form or letter that shows requirements of the job and availability of candidate 2) approves membership, prior to November 1970, on Interagency Boards of Examiners 3) >approves< superior qualification appointments 4) >approves< waiver of time-in-grade requirements based on hardship or inequity <p style="text-align: right;"><i>(Continued on next page)</i></p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p> <p>>NOTE: The requirement to file these records is rescinded only when the records do not uniquely identify the employee by name, SSN, or other means. When the records uniquely identify an employee, observe the instructions at Table 3-B, page 3-12.<</p> <p>>NOTE: Keep these documents in case files.<</p>
<i>Table 3-I continued on next page</i>	

DOCUMENTS	DATE TO STOP FILING
<p>AUTHORIZED BY OPM/CSC OR UNDER DELEGATED AUTHORITY: (Continued)</p> <p>5) is a training agreement that allows waiver of qualification requirements, time-in-grade restrictions, or authorizes accelerated promotion</p> <p>Form documentation (memorandum/ letter/form) of actions approved by either OPM/CSC or by an agency official to whom authority has been delegated by law, CFR, FPM or special agreement (i.e., blanket and specific delegations).</p> <p>EXAMPLE: Special authority granted during a base closure.</p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p> <p>>NOTE: Keep these documents in case files.<</p>
<p>AWARDS AND COMMENDATIONS</p> <p>Appreciation/Commendation</p> <ul style="list-style-type: none"> • Non-monetary awards granted under the agency incentive award program that are reviewed and approved by the designated official. • Letters of Appreciation and Letters of Commendation approved through the agency incentive award program. <p><i>(Continued on next page)</i></p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p><i>Table 3-I continued on next page</i></p>	

DOCUMENTS	DATE TO STOP FILING
<p>AWARDS AND COMMENDATIONS (Continued)</p> <p>State and Local Government Awards</p> <ul style="list-style-type: none"> • Cash awards granted by State and local governments to a Federal employee on a mobility assignment 	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p>DIRECT HIRE</p> <p>Copy of Agency's report showing the selection of the individual by direct-hire, including:</p> <ul style="list-style-type: none"> • Report of the appointment to CSC/OPM that issued the direct-hire authority. • OPM 775 (formerly CSC 775), Direct-Hire Authority and Reporting Form <p style="text-align: center;">OR</p> <p>The Agency memo/letter used for reporting</p> <ul style="list-style-type: none"> • Copy of the computer-generated Request for Referral of Eligibles used for selection under direct-hire 	<p>>December 31, 1996 or Earlier at Agency Discretion<</p> <p>>NOTE: Keep these documents in case files.<</p>
<p style="text-align: right;"><i>Table 3-I continued on next page</i></p>	

DOCUMENTS	DATE TO STOP FILING
<p>FACULTY MEMBERS</p> <p>Agency documentation of the knowledges, skills, and abilities possessed by members of the faculty of an accredited college or university. Documentation is required when faculty members are given noncompetitive temporary limited appointments to positions of scientific, professional, or instructional nature.</p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p>INVESTIGATIVE PROCESS</p> <ul style="list-style-type: none"> • SF 84 (Discontinued), Request for Report on Loyalty Data <p>INVESTIGATIVE PROCESSING NOTICE</p> <p>Notice by OPM (Discontinued) processing under EO 9835, including:</p> <ul style="list-style-type: none"> • Application form returned and stamped with, "EO 9835", and • Notification from a former regional loyalty board of OPM/CSC or from a former agency loyalty board. <p><i>(Continued on next page)</i></p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p><i>Table 3-I continued on next page</i></p>	

DOCUMENTS	DATE TO STOP FILING
<p>INVESTIGATIVE STATEMENTS (Continued)</p> <p>Statement by agency, or CSC/OPM (memorandum, form, or other evidence used before 4/1/90), that states (former) Federal Personnel Manual Chapters 731 and 732 investigation and adjudication requirements were met. (DISCONTINUED)</p> <p>NOTE: This also applies to reinvestigation for critical-sensitive positions.</p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p>OPM Form 1398, Model Veterans Readjustment Appointment Plan</p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p>OPM Form 1495, Financial Eligibility Statement for Student and Summer Aid Programs</p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p>SF 70 or CSC 12 (or equivalent) (Discontinued), Proof of Residence</p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p>SUPERVISORY DIFFERENTIAL Record of determination to pay, adjust, or terminate a supervisory differential for a GS supervisor with non-GS subordinates.</p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p><i>Table 3-I continued on next page</i></p>	
<p>THRIFT SAVINGS PLAN</p> <ul style="list-style-type: none"> • TSP 3, Thrift Savings Plan Designation of Beneficiary • TSP 18, Validation of Retirement Information • TSP 19, Transfer of Information Between Agencies • TSP 42, Thrift Savings Plan Documentation of Review of forms TSP-3, Designation of Beneficiary 	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>

DOCUMENTS	DATE TO STOP FILING
<p>TRAINING</p> <ul style="list-style-type: none"> • OF 37 (DISCONTINUED), Nomination for Interagency Training • Presidential Appointee, Record of Training <p>TRAINING PLAN:</p> <ul style="list-style-type: none"> • VRA training or education plan (OPM 1398) • Documentation that training plan was completed for non-VRA agreements <p>TRAINING CERTIFICATES</p> <ul style="list-style-type: none"> • Certificates issued by the training facility for course completion. <p><i>(Continued on next page)</i></p>	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
<p><i>Table 3-I continued on next page</i></p>	

DOCUMENTS	DATE TO STOP FILING
<p>TRAINING - (Continued)</p> <p>TRAINING FORMS:</p> <ul style="list-style-type: none"> • Request, Authorization, Agreement and Certification of Training (SF 182, or the discontinued CSC 1146 and OF 170). • OPM approved agency substituted forms. (For example: DD 1556, Request, Authorization, Agreement, Certification of Training and Reimbursement.) • Computer generated lists <p>NOTE: When agencies choose to use a computer list to document training, the list must include all of the required information on the training form</p> <p>WAIVERS AND EXCEPTIONS</p> <p>Letters from OPM/CSC authorizing waivers and exceptions from the provisions of chapter 41 of title 5, U.S.C. or under former Federal Personnel Manual (FPM) chapter 410.</p> <ul style="list-style-type: none"> • Documentation of training in Government facilities • Documentation of training in non-Government facilities • Training for less than 8 hours 	<p>>December 31, 1996 or Earlier at Agency Discretion<</p>
Table 3-I continued on next page	

DOCUMENTS	DATE TO STOP FILING
WORK PERMITS Certification of Approval of Employment by School Authorities (work permit)	>December 31, 1996 or Earlier at Agency Discretion<

Chapter 4

How to Reconstruct a Personnel Folder

Introduction

An agency must start to reconstruct the personnel folder upon learning that the folder is lost or destroyed. Reconstruction includes:

- Copying all applicable documents the agency can get from the employee, personnel office files, payroll office, Social Security Administration, etc., and
- Documenting the reconstruction.

Place a notice of the reconstruction in the folder

A transcript of service serves as the notice of reconstruction. The transcript is to remain as the top document of the reconstructed portion in the personnel folder. See Chapter 7 of this *GUIDE* for instructions on creating a transcript of service.

Procedures

Use the following procedures to reconstruct the personnel folder.

Step	Action
1	Copy any relevant documents the employee can furnish. For example: <ul style="list-style-type: none"> ● Applications for Federal Employment, ● SF 50's, Notifications of Personnel Action, ● Training Records, and ● Earnings and Leave Statements.
2	Request a computer-generated employment history from agencies where the individual was previously employed. NOTE: While agencies are no longer required to keep Chronological File copies of SF 50's, Notifications of Personnel Action, request copies when they may be available.
<i>Continued on next page</i>	
3	Request retirement records.

Step	Action	
	If the employee made CSRS or FERS contributions...	If the employee made social security contributions...
	<p>Request a copy of all SF 2806's, Individual Retirement Records. Provide the employee's name, social security number, and date of birth for each SF 2806 requested.</p> <p>Send the request to:</p> <p style="padding-left: 40px;">OPM, Retirement Operations Center, P. O. Box 45, Boyers, PA 16017</p> <p>Requests may also be faxed to 412-794-4668. Take care that privacy of the personal information is maintained when requesting the SF 2806 be faxed to the personnel office.</p>	<p>Request that the individual get detailed earnings information from the Social Security Administration, 6401 Security Boulevard, Baltimore, MD 21235.</p> <p>NOTE: Advise the employee to use Form SSA-7050-F3 to request this information. Requested information should be earnings by each employer.</p> <p>It is important that the employee know that the Social Security Administration will charge a fee for this service and that the fee is based on the number of years of earnings to be reported.</p>
<i>Continued on next page</i>		

Step	Action	
4	Submit a completed SF 127, Request for Official Personnel Folder (OPF) to the National Archives and Records Administration. The mailing label should read: National Archives and Records Administration, National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118, ATTENTION: Chief, Civilian Reference Branch (DO NOT OPEN IN MAILROOM).	
	To request a search for the personnel folder:	To request a search for payroll records:
	Place a statement in the Remarks section: "The OPF for this employee is lost or destroyed. This is to request that a search be made by NPRC for the OPF of the named employee." This statement is required to insure that the missing OPF was not inadvertently returned to NPRC.	Place a statement in the Remarks section: "This is to request a search of any payroll records on the named employee that may be stored at NPRC." Not all agencies store payroll records at the NPRC. If the records are not at the NPRC, contact the agency.
5	Obtain any copies of OPM certificates establishing the employee's qualifications for specific jobs. Contact the OPM Service Center that issued appointment certificates for the individual.	
6	Use records from the investigative files, and security clearances where appropriate, that document Federal service.	
Continued on next page		

Step	Action	
7	<p>Prepare a transcript of service. Refer to Chapter 7 of this <i>GUIDE</i> for instructions on transcript preparation.</p> <p>An introductory paragraph should be added to the transcript identifying the documents used to prepare the transcript.</p> <p>Example: "The following transcript of Federal service was prepared from an SF 2806, Individual Retirement Record, maintained by the Office of Personnel Management."</p>	
8	<p>Follow instructions in Chapter 2 of this <i>Guide</i> to select the correct folder. File the transcript of service in the folder. The transcript will be the top form of the reconstructed portion of the personnel folder. Documents located during the reconstruction process should be filed beneath the transcript.</p>	
9	<p>Use the tables in Chapter 3 of this <i>Guide</i>. Documents listed as prohibited in Chapter may not be filed in a reconstructed personnel folder.</p>	
	<p>Documents that may be filed with the transcript:</p> <ul style="list-style-type: none"> • Any documents that support benefits • Any SF 50's, Notification of Personnel Actions 	<p>Documents that MAY NOT be filed with the transcript:</p> <ul style="list-style-type: none"> • SF 2806, Individual Retirement Record • Computer-generated employment histories • Payroll records • Social Security earnings report

Chapter 5

"Jointly-Owned" Personnel Folders

Recordkeeping agreements with OPM

In Chapter 1 of this *GUIDE* we indicated that OPM owned the personnel folder records that agencies establish under OPM's recordkeeping authority. Legislative and Judicial Branch agencies, some Executive Branch agencies such as the Central Intelligence Agency, and quasi-Government agencies such as the U.S. Postal Service are not subject to OPM's personnel folder recordkeeping authority. These agencies have their own authority to establish and maintain personnel records in a personnel folder.

Agencies maintaining records under OPM's recordkeeping authority must establish a single personnel folder for an employee's entire Federal employment history. This single folder may contain personnel records that were established by agencies that have their own personnel folder recordkeeping authority. We refer to such folders as **jointly-owned personnel folders**.

OPM has developed recordkeeping agreements with agencies that have their own recordkeeping authority. The agreements describe what an agency maintaining a jointly-owned personnel folder is to do:

- when the employee that is the subject of folder separates; and
- when there is a request for access to or disclosure of information from such a folder.

Who sends what

Chapter 2 of this *Guide* identifies the agencies that have agreements with OPM concerning jointly-owned personnel folders. Chapter 2 also provides information on whether these agencies will provide a paper or microfiche personnel folder, an administrative folder, or a transcript of service when you hire any of its employees. Chapter 6 of this *GUIDE* provides the mailing addresses for these agencies.

Continued on next page

Chapter 5: "Jointly-Owned" Personnel FoldersContinued

**Agency
Responsibilities**

Once an agency receives, or establishes a jointly-owned SF 66-C, Merged Records Personnel Folder, that agency **MUST**:

- maintain a single personnel folder, containing all required records,
 - use **all** records to make personnel decisions affecting the employee,
 - permit the employee to review **all** records,
 - provide a copy of **all** records to the employee, at the employee's request,
 - provide a copy of the records to anyone that has the employee's permission to receive or review the records,
 - disclose information from all records to agency employees and officials that need the records to perform their duties; and
 - disclose information from **all** records in compliance with Freedom of Information Act (FOIA) requests. Refer to Chapter 6, page 6, of this *GUIDE* for information on data you may release under FOIA.
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Continued on next page

**What agencies
are not
permitted to do**

After an agency receives or establishes a jointly-owned personnel folder that agency **MAY NOT**:

- amend any records in the folder that OPM does not own;
- destroy any records in the folder that OPM does not own;
- except for SF 181 and SF 256, remove any records that OPM does not own;
- adjudicate an appeal of an amendment to a record that OPM does not own;
- enter into a settlement agreement on disposition of records that OPM does not own; and
- disclose information to the public from any record that OPM does not own.

**Exception to
disclosure
prohibition**

You must disclose information to:

- the employee who is the subject of the record;
- agency officials and employees who use the employee records to perform their duties; and
- someone with the employee's written permission to review or receive a copy of his/her records.

**Refer requests to
the "owner"**

The agency maintaining a jointly-owned personnel folder may wish to initiate one or more of the above-listed actions or may receive a request for such actions. In such situations, the maintaining agency should refer the proposed action or the request to the agency that owns the records. Refer to Chapter 6, Table 6-A, of this *GUIDE* for agency addresses.

Chapter 6

How to Respond to Requests for Information

Overview

Introduction A variety of people require personnel information on Federal employees. Responses to requests for information are governed by the Privacy Act and by the Freedom of Information Act.

In this chapter This chapter includes the following topics.

Topic	See Page
What to do With a Request from a Current Employee	6-2
What to do With a Request from a Former Employee	6-4
Requests for Information to Do Government Work	6-5
Requests from the Public for Information	6-6
Table 6-A: Requests for Information from Jointly-Owned Folders	6-8
Accounting of Disclosures	6-14

What to do With a Request from a Current Employee

Introduction

If you maintain records in a system of records that personally identify an individual, the records are subject to Privacy Act requirements. The Privacy Act requires that records be complete, accurate, timely and relevant. The Privacy Act also requires that the subject of a record be allowed to see the record.

Personnel records are subject to the Privacy Act. This means that employees may review their records and request:

- correction of any invalid data on records in their folder;
- removal of records that are inappropriately filed in the folder; and
- the addition of records that are missing from and should be in the folder.

Access requests

An employee's personnel folder must be made available to the employee for review upon request. Employees are required to present proper identification before the personnel folder is provided to them.

Employees reviewing their own folders **must be accompanied** by a records custodian at all times.

Employees may obtain copies of records in their personnel folders. Observe agency policies with regard to any charges for copies.

Continued on next page

Amendment requests

Amendment of personnel folders means changing data on records in the folder, and adding records or removing records from the folder.

OPM has delegated to agencies the authority to amend personnel records of current employees. Agencies may prescribe their own procedures for submission and processing of these amendment requests.

In reviewing any employee amendment request, the agency should ensure that the requested changes comply with all applicable OPM documentation and recordkeeping procedures and regulations.

EXAMPLE: The employee says his current occupational classification is wrong. The employee should request a classification review following agency procedures for processing such a request. If the review confirms the occupational classification is wrong, observe the procedures in OPM Operating Manual, *THE GUIDE TO PROCESSING PERSONNEL ACTIONS* to document the change to the new occupation.

EXAMPLE: The employee says a position he occupied several years ago was classified to the wrong occupation. The employee requests a classification review. The classification reviewer reports that employee classification regulations do not permit an employee to appeal classification of a position the employee no longer occupies. Do not change the employee's record.

Appeal of a denial of an amendment request

When an agency denies an employee's request to amend a personnel record, that employee may be able to appeal that decision. Refer to agency guidance on amendment appeals for instructions about how to advise the employee.

Jointly-owned personnel folders

OPM's delegation of authority for agencies to amend records in the personnel folder applies only to records that OPM owns. Some of the records in jointly-owned personnel folders will not be owned by OPM. Refer requests for amendment of records that OPM does not own to the agencies that own them. Refer to Table 6-A of this *GUIDE* for the addresses of those agencies.

What to do With a Request from a Former Employee

Access requests Former employees may receive copies of their own personnel records.

Advise former employees to submit requests for complete copies of the personnel folder to the U.S. Office of Personnel Management, OPF/EMF Access Unit, PO Box 18673, St. Louis, MO 63118.

Advise former employees to submit requests for individual documents to the National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118.

Instruct the former employee to provide name (or names) used, social security number, date of birth, year of separation, and the name of last employing agency (if known) with all requests.

Amendment requests

Advise **former** employees to submit their amendment requests to the Assistant Director for Workforce Information, U.S. Office of Personnel Management, 1900 E Street, N.W., Washington, DC 20415.

Requests should:

- identify the records and data believed to be incorrect;
- identify any records believed missing from the folder;
- identify any documents believed inappropriately filed in the personnel folder;
- explain why it is believed that the identified items are not correct or complete; and
- >explain what the correct content of the documents should be<

To ensure proper handling at OPM, advise the employee to write the words "Privacy Act Request" on the letter and on the envelope used to transmit the letter to OPM.

Requests for Information to Do Government Work

**Officers and
employees of the
agency**

The personnel folder is available to officials who need access to the record to perform their assigned functions. Those officials include:

- Federal investigators,
- agency personnelists,
- agency managers,
- agency supervisors, and
- OPM employees.

**Review of
jointly-owned
folders**

Agencies shall permit agency officers and employees to review all documents in jointly-owned folders.

When in doubt...

Check with the agency Privacy Act or Freedom of Information Officer when unsure about what records may be reviewed by an individual.

Requests From the Public for Information

Introduction	The Privacy Act of 1974 restricts access to records in a system of personally identifiable records. The Freedom of Information Act (FOIA) establishes the public's right to information contained in Government records. These laws apply to records in personnel folders. Information provided below should help you to comply with these laws in responding to requests for information from personnel folders.
Release information in records that OPM owns	OPM delegates to agencies authority to release information from OPM-owned records in personnel folders.
Do not release information from records OPM does not own	OPM may not own all the records in a personnel folder. In those cases of a jointly-owned personnel folder, refer to the agency that owns personnel records any request for access to or disclosure from records not-owned by OPM. Refer to Table 6-A of this <i>GUIDE</i> for a list of these agencies and their addresses.
Only release information on current employees	Requests for information on former employees must be referred to OPM even if the personnel folder containing the information is still in agency files. >Agencies should forward the request and the personnel folder to the U.S. Office of Personnel Management, OPF/EMF Access Unit, PO Box 18673, St. Louis, MO 63118.

Continued on next page

What data may be released	<p>The items listed below are public information. You may release these data to the public without the prior written consent of the employee who is the data subject.</p> <ul style="list-style-type: none">• Name;• Present and past position titles and occupational series;• Present and past grades;• Present and past annual salary rates (includes Meritorious or Distinguished Executive Ranks, awards, and allowances and differentials);• Present and past duty stations (includes room numbers, shop designations, or other identifying information regarding buildings or places of employment); and• Position descriptions, identification of job elements, and those performance standards (but not actual summary ratings) the release of which would not interfere with law enforcement programs or severely inhibit agency effectiveness. Performance elements and standards (or work expectations) may be withheld when they are so intertwined with performance appraisals that their disclosure would reveal an individual's summary rating.
Prior written consent	<p>You must obtain the employee's prior written consent for the release to the public of any personnel folder data NOT listed above.</p>
Format for delivery of requested information	<p>If a requestor does not provide a form for you to complete (e.g., a bank's employment verification form) you may provide the requested data on a transcript of service. Refer to Chapter 7 of this <i>GUIDE</i> for a sample transcript of service. When providing a transcript of service in response to a public information request, do not provide social security number and date of birth, as these items are not releasable under FOIA.</p>

Table 6-A: Requests for Information from Jointly-Owned Folders

Amendments are made by the document owners

OPM has delegated to agencies the authority to amend personnel records of current employees. This delegation is only for records owned by OPM. Records owned by an agency that is not under OPM recordkeeping authority may be amended only by the agency owning the records.

In this table

This table provides addresses for agencies that may own records in a personnel folder in your possession. Use this table when you must send a request to the agency for access to, disclosure from, or amendment of any of its records.

Agency	Send Requests for Amendment and Access to Records to...
>Corporation for National Service< (formerly ACTION)	>Corporation for National Service,< Personnel Office, 1100 Vermont Avenue, N.W., Washington, DC 20525
Administrative Office of the U.S. Courts	Administrative Office of the U.S. Courts, Judges Compensation & Benefits Branch, 1 Columbus Circle, N.E., Washington, DC 20544
Agency for International Development (For Foreign Service employees with AID)	Agency for International Development (AID), HRDM/SCD, 320 21st Street N.W., Room 1115 SA-1, Washington, DC 20523
Architect of the Capitol	Architect of the Capitol, U.S. Capitol Building, Room SF-15, Personnel/Payroll Systems Branch, Washington, DC 20515

Agency	Send Requests for Amendment and Access to Records to...
Board of Governors of the Federal Reserve System	Federal Reserve System, Board of Governors, Division of Human Resources, 20th and C Streets, N.W., Washington, DC 20551
Central Intelligence Agency	Central Intelligence Agency, Chief Transactions & Records Branch, Office of Personnel, ATTN: Government Service Verification, Room: GT-5327NHB, Washington, DC 20505
Congressional Budget Office	Personnel Director, Congressional Budget Office, 493 Ford House Office Building, Second and D Streets, N.W., Washington, DC 20515
Department of Commerce (For Foreign Service employees within Commerce)	Department of Commerce, Foreign Service Personnel, 14th & Constitution Avenue, N.W., Washington, DC 20230
Department of Agriculture: Agricultural Stabilization and Conservation Service For Foreign Service employees within: Animal and Plant Health Inspection Service Foreign Agriculture Service	USDA-ASCS HRMD, PO Box 2415 (Room 6725), Washington, DC 20013
	Chief, International Program Management and Liaison Staff, Animal and Plant Health Inspection Service, U.S. Department of Agriculture, 6505 Belcrest Road, Hyattsville, MD 20782
	Personnel Officer, Foreign Agricultural Service, U.S. Department of Agriculture, 14th & Independence Avenue, Washington, DC 20250

Agency	Send Requests for Amendment and Access to Records to...
Department of Army (For CIPMS employees within Army)	Department of Army, USAISC-P (ASQNS-OP-F), Crystal Square #2, Suite 201, 1725 Jefferson Davis Highway, Arlington, VA 22202
Department of Navy (For CIPMS employees within Navy)	Department of Navy, Chief of Naval Operations, (OP-09B30), Room 5E521, Pentagon, Washington, DC 20350-2003
Department of Veterans Affairs (when employed under title 38, U.S.C.)	Access and amendment requests are to be sent to the last VA employing office.
District of Columbia Government	DC Office of Personnel, Central File Room, 613 G Street, N.W., Washington, DC 20001
DOD, Non-Appropriated Fund Instrumentalities	Army and Air Force Exchange Service, HQ-AFFES, ATTN: PE-P, PO Box 660202, Dallas, TX 75266-0202
	Department of the Army, NAF Personnel Division, Human Resources, HQDA (CFSC-HR-P) Room IN39, Hoffman Building #2, Alexandria, VA 22331-0523
	Department of the Air Force, HQ AFMWRSA/MWXHC, 550 C St., W, Suite 56, Randolph AFB, TX 78150-4758

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Agency	Send Requests for Amendment and Access to Records to...
DOD, Non-Appropriated Fund Instrumentalities, <i>Continued</i>	<p>Department of Navy, OCPM, CODE 02N, Room 1205, 800 N. Quincy St., BTC #1, Arlington, VA 22203-1998</p> <p>(Send requests for Marine Corps records to the same address as Department of Navy)</p>
<p>Department of State</p> <p>(For Foreign Service employees within State)</p>	<p>Chief, Personnel Records Branch, Bureau of Personnel, PER/MGT/RMR/PR, Room 1609NS, U.S. Department of State, Washington, DC 20520</p>
Federal Bureau of Investigation	<p>Director, Federal Bureau of Investigation, Records Management Division, J. Edgar Hoover Building, Washington, DC 20535</p>
Federal Judicial Center	<p>Federal Judicial Center, Personnel Office, Room 6190, Thurgood Marshall Federal Judiciary Building, One Columbus Circle, N.E., Washington, DC 2002-8003</p>
General Accounting Office	<p>General Accounting Office, Director of Personnel, Washington, DC 20548</p>
Library of Congress	<p>Send amendment requests to: General Counsel, Library of Congress, Personnel Operations Office, Washington, DC 20540</p> <p>Send access requests to: Library of Congress, Personnel Office, 101 Independence Avenue, S.E., Washington, DC 20540</p>

Agency	Send Requests for Amendment and Access to Records to...
National Security Agency	National Security Agency, Civilian Personnel, Ft. George G. Meade, MD 20755
Office of Technology Assessment	Office of Technology Assessment, U.S. Congress, Washington, DC 20510-8025
Panama Canal Commission (Non-U.S. citizen employees within the Commission)	Panama Canal Commission, Personnel Records Administration Branch, Office of Personnel Administration, Unit 2300, APO AA 34011
Peace Corps	Peace Corps, Director of Personnel, 1990 K Street, N.W., Washington, DC 20526
Supreme Court	The Supreme Court of the United States, Office of the Marshal, Room G6, #1, First Street, N.E., Washington, DC 20543
Tennessee Valley Authority	Tennessee Valley Authority, Personnel Microrecords Unit, 210 MIB, Knoxville, TX 37901
U.S. Botanic Garden	U.S. Botanic Garden, Personnel Records, Ford House Office Building, Second and D Streets, N.W., Room H2-179, Washington, DC 20515
U.S. House of Representatives	U.S. House of Representatives, ATTN: Finance Office, 263 Cannon Building, Washington, DC 20515, (ATTN: Benefits)

Agency	Send Requests for Amendment and Access to Records to...
U.S. Postal Service (For records created after July 1971)	Send amendment requests to: General Manager, Headquarters, Personnel Division, 475 L'Enfant Plaza, S.W., Washington, DC 2020- 4261 Access requests are sent to the last employing office.
U.S. Senate	United States Senate, Disbursing Office, Room SH-127, Hart Senate Office Building, Washington, DC 20510-7104
White House	Director of Personnel Management Division, Office of Administration, Executive Office of the President, 725 17th Street, N.W., Room 4013, Washington, DC 20530

Accounting of Disclosures

**Privacy Act
requires an
accounting of
disclosure**

In many situations, an "accounting of disclosure" for information released from a personnel folder must be prepared. This requirement applies to all releases EXCEPT releases to:

- the employee who is the subject of the folder (i.e., the data subject);
 - agency employees and officials that use the records to perform their duties; and
 - the public in response to Freedom of Information Act requests.
-

**Contact the
Privacy Act
Officer for
assistance**

There are many requirements and exceptions to these requirements for accounting of disclosure. In cases where there is anything except the most usual circumstances, ask the agency Privacy Act Officer for assistance.

**Content of
accountings of
disclosure**

Accountings of disclosure must include the following information:

- the date, nature, and purpose of each disclosure of a record to any person or to another agency, and
 - the name and address of the person or agency to whom the disclosure is made.
-

**File accountings
of disclosure in
the personnel
folder**

File any "accountings of disclosure" information from personnel folders as long-term records on the right side of the personnel folder.

Chapter 7

Transferring Records to the National Personnel Records Center or to Another Personnel Office

Overview

Introduction Agencies send the personnel folders of their separated employees to the gaining servicing personnel office or, if the employee leaves Federal service, to the National Personnel Records Center (NPRC). Agencies prepare folders one way for transmittal to a gaining personnel office and another way for transmittal to NPRC.

For a number of reasons, agencies may postpone the transfer of personnel folders for employees who separate from Federal service.

In this chapter This chapter includes the following topics.

Topic	See Page
When and Where to Transfer the Personnel Folder	7-2
Table 7-A: Circumstances that Permit Keeping Personnel Records Beyond Normal Retention	7-4
How to Prepare Personnel Records for Transfer	7-6
Table 7-B: Preparing Personnel Records for Transfer to Another Agency	7-7
Table 7-C: Preparing Personnel Records for Transfer to Another Personnel Office Within the Same Agency	7-9
Table 7-D: Preparing Personnel Records for Transfer to the National Personnel Records Center	>7-11<
Table 7-E: Preparing Personnel Records When Sending a Transcript	>7-14<
The Folder "is in the Mail"	>7-17<

When and Where to Transfer the Personnel Folder

Background	<p>The personnel folder "travels" with the employee throughout his or her entire Federal career. OPM has an agreement with the National Archives and Records Administration, National Personnel Records Center (NPRC), to retain folders of former Federal employees until retention requirements expire. Folders are retained normally for 115 years from the employee's date of birth or for 65 years from date of last separation from Federal employment, whichever comes first.</p>
Movement within the Federal government	<p>Instructions on the transfer of personnel folders differs when:</p> <ul style="list-style-type: none">• the employee moves within the Federal government to a position serviced by a different personnel office, and both offices are under OPM's recordkeeping authority; and• the employee moves to a position in an agency outside the scope of OPM's recordkeeping authority.
Within OPM's recordkeeping authority	<p>When the folder is requested by a personnel office under OPM's recordkeeping authority, send the folder to the requester within 5 working days after the request is received.</p> <p>If long-term records that should be filed in the folder are not available, keep the folder until the long-term records are obtained and filed. Notify the requester and explain the delay.</p>

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When and Where to Transfer the Personnel Folder^{Continued}

Outside OPM's scope of recordkeeping authority

Transfer of personnel records to agencies outside the scope of OPM's recordkeeping authority depends on whether that agency has agreed to transfer personnel folders, or transcripts of service and microfiche. Refer to Table 2-A for this information.

AGENCIES THAT TRANSFER FOLDERS: Send the personnel records to the requester within 5 working days after the request is received.

If long-term records that should be filed in the folder are not available, keep the folder until the long-term records are obtained and filed. Notify the requester and explain the delay.

AGENCIES THAT FURNISH TRANSCRIPTS OR MICROFICHE: Prepare and send a transcript of service to the requesting agency. Send the personnel records to the NPRC within 90 days of the employee's effective date of separation.

EXCEPTION: As shown on Table 2-A, the U.S. Senate sends transcripts of service to other agencies. However, other agencies forward the entire personnel folder when an employee transfers to the U.S. Senate.

Separation from Federal employment

Send the folder to the NPRC within 90 days after the date of separation.

For a number of reasons, agencies may retain personnel folders temporarily after an employee separates from Federal service. Table 7-A describes the circumstances permitting an agency to retain the folder beyond the 90 days.

Table 7-A: Circumstances that Permit >Keeping< Personnel Records Beyond Normal >Retention<

Introduction Often, situations occur where a personnel office needs the personnel records of an employee longer than 90 days after the person separates. The length of time needed to complete the work with the folder will vary.

In this table The following table identifies circumstances that may occur requiring the personnel office to retain personnel records for a longer period of time.

If...	Then...
A retirement or death claim is being processed	Keep the folder for 120 days, then send the folder to the NPRC.
It is probable that the employee will be employed repeatedly, after separation for short periods of time in the agency	Keep the folder.
The employee is separated to enter military service	Keep the folder until the: <ul style="list-style-type: none"> • the employee returns; or • reemployment/restoration rights expire: whichever comes first.
The employee is serving under an Intergovernmental Personnel Act (IPA) assignment	
The employee is transferred to an international organization	

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Table 7-A: Circumstances that Permit >Keeping< Personnel Records Beyond Normal >Retention<, Continued

If...	Then...
The employee is separated due to compensable injury and has restoration rights	Then keep the folder until the: <ul style="list-style-type: none">• the employee returns; or• restoration rights expire; whichever comes first.
The employee is placed on a reemployment priority list (RPL)	Keep the folder until the employee's name is removed from the list.
The employee appeals the separation	Keep the folder until the appeal is resolved.
The employee is entitled to severance pay	Keep the folder until: <ul style="list-style-type: none">• the employee returns; or• severance pay expires; whichever comes first.

How to Prepare Personnel Records for Transfer

Introduction	How personnel records are prepared for transfer depends on where they will be sent. Personnel records are prepared one way for transfer to a gaining personnel office and another way for transfer to the National Personnel Records Center (NPRC).
Personnel folders	<p>Personnel folders should be reviewed and documents not designated as long-term records in Chapter 3, of this <i>GUIDE</i>, removed from the right side.</p> <p>Documents filed on the left-side of the personnel folder may be transferred only when the employee moves to a position within the same agency. Whenever the employee goes to a job in a different agency or leaves Federal service, the left-side of the personnel folder must be purged.</p>
Medical Records	<p>Medical Records for those employees who move to a position in a different agency or leave Federal service must be placed in an SF 66-C, Employee Medical Folder, before the records are transferred.</p> <p>When the employee stays within the same agency, medical records may be transferred in whatever folder the agency uses to maintain the records.</p>
Performance records	<p>Only certain performance records transfer when an employee moves to a new job. >Ratings of record and subsequent performance ratings identified in Table 7-B< are placed on the left side of the personnel folder whenever the employee leaves the agency.</p> <p>When an employee moves to another position within the same agency, follow agency instructions on what performance-related records are to be transferred. At a minimum, >ratings of record and subsequent performance ratings identified in Table 7-C< must be transferred.</p>
Employees going overseas	<p>Employees entering on duty overseas are entitled to a copy of their personnel folder and should take the copy when moving.</p> <p>The employee may never be authorized to carry the Official Personnel Folder/Merged Records Personnel Folder to the new duty station.</p>

Table 7-B: Preparing Personnel Records for Transfer to Another Agency

In this table

The following table provides procedures for preparing personnel records that will be sent to another agency.

Step	Action	
1	Check the personnel folder for completeness and accuracy.	
2	Remove the temporary records from the left side of the personnel folder.	
3	Place the following performance records on the left side of the personnel folder:	
	SES	Non-SES
	Performance final ratings of record that are 5 years old or less, along with the performance plan for each rating.	<ul style="list-style-type: none"> • >Ratings of record that are 4 years old or less. Ratings of record consist of the evaluation of the employee's performance against the elements and standards plus the summary level and pattern. • Any performance ratings prepared, if such ratings are more recent than the latest rating of record.<

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Table 7-B: Preparing Personnel Records for Transfer to Another Agency, Continued

Step	Action
3	<p>>NOTE: Performance records should include as a minimum: (1) the summary level (e.g., level 5 - outstanding). This is equivalent to the rating of record (level) as defined in the OPM Operating Manual, THE GUIDE TO PERSONNEL DATA STANDARDS; (2) the combinations of summary level ratings possible under the applicable performance management system. This is equivalent to the rating of record (pattern), as defined in the OPM Operating Manual, THE GUIDE TO PERSONNEL DATA STANDARDS; and (3) the ending date of the appraisal period. This is equivalent to the rating of record (period) as defined in the OPM Operating Manual, THE GUIDE TO PERSONNEL DATA STANDARDS<</p> <p>NOTE: Performance records, other than those listed above, are retained by the agency and disposed of following agency procedures.</p>
4	<p>Place long-term medical records in an SF 66-D, Employee Medical Folder.</p> <p>NOTE: Temporary medical records are retained by the agency and disposed of following agency procedures.</p>

**Records
erroneously left
out**

When long-term documents are discovered that have been erroneously left out of the folder, the agency must send them immediately to the new office.

Forward any additional personnel records to the employing office by cover letter. Fully identify the following:

- employee by name,
- date of birth, and
- social security number.

Indicate the date the folder was originally sent to the new office.

Table 7-C: Preparing Personnel Records for Transfer to Another Personnel Office Within the Same Agency

In this table

The following table provides procedures for preparing personnel records that will be sent to another personnel office within the same agency.

Step	Action	
1	Check the personnel folder for completeness and accuracy. Temporary records filed on the left side of the personnel folder may remain in the folder. Follow agency procedures to determine what temporary documents should be sent.	
2	Locate the employee's performance records. Performance records may be transferred in whatever folder is designated by the agency's Employee Performance File System. All performance-related records may be transferred.	
	At a minimum, the following performance records must be sent to the new personnel office:	
	SES	Non-SES
	Performance final ratings of record that are 5 years old or less, along with performance plans for each rating.	<ul style="list-style-type: none"> • >Ratings of record that are 4 years old or less. Ratings of record consist of the evaluation of the employee's performance against the elements and standards plus the summary level and pattern. • Any performance ratings prepared, if such ratings are more recent than the latest rating of record.<

Table 7-C continued on next page

Table 7-C: Preparing Personnel Records for Transfer to Another Personnel Office Within the Same Agency,Continued

Step	Action
3	<p>Locate the employee's medical records.</p> <p>Medical records may be transferred to the new personnel office in whatever file is designated by the agency's Employee Medical File System. Temporary medical records may be transferred. At a minimum, all long-term medical records must be sent to the new personnel office.</p>

Table 7-D: Preparing Personnel Records for Transfer to the National Personnel Records Center

In this table The following table provides procedures for preparing personnel records that will be sent to the National Personnel Records Center (NPRC).

Step	Action
1	Check the personnel folder for completeness and accuracy.
2	Remove the temporary records from the left side of the personnel folder.
3	<p>Determine the employee's retirement coverage.</p> <p>When the employee is covered by the Federal Employee's Retirement System (FERS), send all previously filed designations that are in the personnel folder to OPM.</p> <ul style="list-style-type: none">• If the employee is retiring, send all previously filed designations to OPM with the retirement application.• If the employee dies, send all previously filed designations with the deceased employee's Individual Retirement Record (SF 3100), which should be sent to OPM as soon as possible after death.
4	Send the SF 3102 to: OPM, Retirement Operations Center, PO Box 45, Boyers, PA 16017.
5	<p>Review the folder for election of contributions to the Thrift Savings Program (TSP).</p> <p>When the employee is covered by the TSP, send the TSP 18 to Thrift Savings Plan Service Office, PO Box 61500, New Orleans, LA 70161-1500.</p>

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Table 7-D: Preparing Personnel Records for Transfer to the National Personnel Records Center,Continued

Step	Action	
6	Remove any agency notations made on the personnel folder. If marks cannot be removed, place the contents in a new SF 66-SF 66-C.	
	The personnel folder label may contain only the following information: name, date of birth, and social security number. Refer to Chapter 2, of this <i>GUIDE</i> for instructions on how to prepare the label.	
7	Locate the employee performance records.	
	Place the following performance records on the left side of the personnel folder:	
	SES	Non-SES
	Performance final ratings of record that are 5 years old or less, along with the performance plan for each rating.	<ul style="list-style-type: none"> • >Ratings of record that are 4 years old or less. Ratings of record consist of the evaluation of the employee's performance against the elements and standards plus the summary level and pattern. • Any performance ratings prepared, if such ratings are more recent than the latest rating of record.<
8	Locate the medical records. Place long-term medical records in an SF 66-D, Employee Medical Folder (EMF).	
	NOTE: Agencies must keep temporary medical records and oversized x-rays until their retention period expires. Follow agency procedures for record disposal.	

Continued on next page

Table 7-D: Preparing Personnel Records for Transfer to the National Personnel Records Center, Continued

Oversize x-rays are retained by the losing office

The National Personnel Records Center (NPRC) cannot accept an Employee Medical Folder (EMF), SF 66-D, with documents extending beyond the border of the folder. Boxed oversized x-rays will not be accepted by NPRC.

Most x-rays are recorded on film that is 8 1/2" by 11" and fit within the border of the EMF. When an oversized x-ray, like that for the chest or torso, is required, the creating agency must retain it. When doing so, the agency must put a notice in the EMF explaining how to obtain the film.

In place of an original x-ray film, agencies may place a microfiche copy of the film in the EMF.

Documents erroneously left out

When it is discovered that documents have been erroneously left out of the folder, the agency must immediately send the records to the NPRC.

Each document must show the following:

- employee's current name and name under which formerly employed (if different),
- date of birth,
- social security number, and
- date of separation.

Clearly identify the submitting agency personnel office and its address on the letter transmitting the documents to NPRC.

Table 7-E: Preparing Personnel Records When Sending a Transcript**When is a transcript required?**

An employee may move to an agency that is not subject to OPM's personnel folder recordkeeping authority. OPM has agreements with such agencies on what personnel folder records or data that the losing agency will give to them. Most agreements requires the losing agency to furnish the gaining agency a transcript of service.

Refer to Chapter 2 of this *GUIDE* for a list of agencies that have completed these agreements. If you are unsure whether to prepare a transcript of service, contact the Office of Workforce Information, 1900 E Street, N.W., Washington, DC 20415. You may either write to that address, or use OPM's electronic bulletin board, *OPM Mainstreet*.

Moves to the U.S. Senate

As shown on the list in Chapter 2, the U. S. Senate sends transcripts of service to other agencies. However, other agencies forward the entire personnel folder when an employee transfer to the U.S. Senate.

Follow instructions in Table 7-B to transfer the personnel records to the U.S. Senate.

In this table

The following table provides procedures for preparing personnel records when a transcript of service is sent to an agency.

Step	Action
1	Check the personnel folder for completeness and accuracy.
2	<p>Prepare a transcript of service that identifies personnel actions processed during the employee's Federal career. Show the following information for each personnel action:</p> <ul style="list-style-type: none"> ● Effective date, ● Type of action, ● Position Title, Series, Grade, and Salary, and ● Duty Location

Continued on next page

Table 7-E: Preparing Personnel Records When Sending a Transcript, Continued

Step	Action	
3	When benefits such as retirement, health, life, Thrift Savings Plan, or leave will continue under the new personnel system, attach the appropriate personnel records to the transcript.	
4	Send the transcript of service to the new personnel office within 5 days of the employee's separation.	
5	Choose the appropriate procedures for the medical and performance records:	
	If the new agency...	Then...
	Requests the medical or the performance records	Send the records as requested.
	Does not request the medical or the performance records	Follow procedures in Table 7-D to send the appropriate records to the National Personnel Records Center.
6	Follow procedures in Table 7-D to send the personnel folder to the National Personnel Records Center.	

Transcripts in response to FOIA requests

When preparing a transcript in response to a request under the Freedom of Information Act (FOIA), remove the SSN, DOB and Type of Action. Only items listed in title 5, CFR 293 as public information may be released under this type of request without the employee's written consent.

Sample of a transcript of service

The following is a sample of service. Use this transcript when the gaining agency has an agreement with OPM to send the transcript instead of the personnel folder.

Continued on next page

Table 7-E: Preparing Personnel Records When Sending a Transcript, Continued

Transcript of Service				
Name: Doe, John X. SSN: 000-00-0000 DOB: 00-00-00 SCD: 08-12-67				
The following transcript of Federal service was prepared from the Official Personnel Folder.				
<i>EFFECTIVE DATE</i>	<i>TYPE OF ACTION</i>	<i>POSITION TITLE, SERIES, GRADE, SALARY</i>		<i>DUTY LOCATION</i>
06-19-67	Excepted Appointment	GS-01	\$3609 pa	Department of Navy, Washington, DC
10-22-67	Promotion	GS-02	\$4231 pa	-Same-
09-23-68	Separation/Military			
06-18-73	Veterans Readjustment Appointment	GS-02	\$5432 pa	Veterans Administration, Washington, DC
06-27-73	Change in SCD	GS-02	\$5432 pa	-Same-
10-14-73	Pay Adjustment	GS-02	\$5682 pa	-Same-
10-14-73	Promotion	GS-03	\$6408 pa	-Same-
08-10-74	Resignation-Appt In Defense Mapping Agency			
08-11-74	Career-Conditional Appointment	WG-04	\$4.09 ph	Defense Mapping Agency, Washington, DC
10-27-74	Pay Adjustment	WG-04	\$4.29 ph	-Same-
02-23-75	Within Grade Increase	WG-04	\$4.47 ph	-Same-
09-06-75	Resignation			
Prepared 10-05-80 by:				
NAME AND SIGNATURE: Jane Smith				

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The Folder is "in the Mail"

Introduction Whether sending one personnel folder or sending many, the key objective is to make sure the records arrive at their destination in good condition.

Package and seal the folder(s) Securely package and seal folder(s) for shipping.

Single Folders	Multiple Folders
<p>Send the folder in an envelope.</p> <p>OPM recommends that agencies use envelopes made from material similar to Dupont's "Ty-Vek" which provides greater protection, as it does not tear as easily as regular paper envelopes.</p> <p>The envelope should measure no less than 11" by 13". This size prevents damage to the name tab on the folder.</p> <p>Envelopes should be reinforced with a paper strip at the bottom of the flap to prevent opening.</p>	<p>Send multiple folders in a carton. It is not necessary to completely fill the carton. NPRC will accept partially full cartons of personnel records.</p> <p>Each carton must include a list, with the employee name and social security number, for each folder contained in the carton.</p>

Sending medical records in the same carton **Do not place the SF 66-D, Employee Medical Folder (EMF), inside the personnel folder**, when sending EMF's in the same carton. Since NPRC files EMF's separately from personnel folders, the folders must be grouped separately. Place EMF's in the envelope or carton after the personnel folders.

NOTE: Envelopes or boxes containing EMF's filed in personnel folders may be returned to the submitting agency for correct packaging.

Continued on next page

The Folder is "in the Mail",Continued

Two authorized methods for sending records

Personnel records must be sent by either:

- regular first class or certified mail; or
- commercial package shipping service.

NOTE: The National Personnel Records Center **WILL NOT ISSUE RECEIPTS** for personnel records sent by regular mail. If a record of receipt is desired, send folders by certified mail.

Chapter 8

Index of Documents

Overview

Introduction

This chapter provides two indexes for locating documents in Chapter 3 of this *Guide*. (Chapter 3 provides instructions for filing documents in personnel folders.)

Two indexes are available

Searching for records using different criteria is possible depending on how a form or document is identified. Some forms and documents have form numbers and codes; some do not. To assist you in finding documents in Chapter 3 of this *GUIDE*, this chapter provides:

- **Index of Documents by Form Number** covers those forms listed in Chapter 3 that have an identifying code. The list is in sequence by the left-most alpha characters of the code. Within the alpha code characters, the list is in numeric sequence.

Example: CA 1, CSC 12, CSC 226

- **Index of Documents by Subject/Form Title** covers all documents listed in Chapter 3 whether they have an identifying code or not. All documents and forms are organized into categories defined by record subject matter such as awards and appeals. Many documents and forms are listed in more than one such category.
-

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Personnel Recordkeeping

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